



---

Case Study:

Establishing how to assess the response of a  
multilateral organisation to the 2030 Agenda

Draft Inception Report

---

# Contents

Acronyms	3
Introduction	5
Background	5
Purpose, scope and focus	5
Methodology	7
Background to the methodology	7
Relationship to MOPAN assessments and other Case Studies	9
Method	10
The Review Framework - Inquiry matrix	12
MO selection and rationale	- 18 -
Limitations	- 19 -
Annex 1: MO Selection list	- 20 -
MO Selection for Fieldwork: Methodology and Recommendations	- 20 -
Stage 1. Classification for SDG implementation	- 20 -
Stage 2. Agency Typology	- 20 -
Stage 3. Diversity of thematic focus	- 21 -
Stage 4. Feasibility	- 21 -

# Acronyms

ADB	Asian Development Bank
AfDB	African Development Bank
CGIAR	Consultative Group on International Agricultural Research
EBRD	European Bank for Reconstruction and Development
FAO	Food and Agriculture Organization
GAVI	The Vaccine Alliance
GEF	Global Environment Facility
GFATM	Global Fund to Fight Aids, Tuberculosis, and Malaria
GPE	Global Partnership for Education
HQ	Headquarters
IDB	Inter-American Development Bank
IFAD	International Fund for Agricultural Development
IFC	International Finance Corporation
ILO	International Labor Organisation
IOM	International Organization for Migration
MO	Multilateral Organisation
MOU	Memorandum of Understanding
MOPAN	Multilateral Organisation Performance Assessment Network
OHCHR	United Nations High Commissioner for Human Rights
QA	Quality Assurance
SDGs	Sustainable Development Goals
TWG	Technical Working Group
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNIDO	United Nations Industrial Development Organisation
UNODC	United Nations Office on Drugs and Crime
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFPA	United Nations Population Fund
UN-Habitat	United Nations Human Settlements Programme
UNHCR	United Nations High Commissioner for Refugees
UNRWA	United Nations Relief and Works Agency for Palestine Refugees in the Near East
UNDP	United Nations Development Programme
UNOCHA	United Nations Office for the Coordination of Humanitarian Affairs
UNICEF	United Nations International Children's Emergency Fund
UNEP	United Nations Environment Programme

WFP	World Food Programme
WHO	World Health Organisation

# Introduction

## Background

This document is the Inception Report for the case study *Establishing how to assess the response of a multilateral organisation to the 2030 Agenda* and sets out the design and process for the case study approach.

## Purpose, scope and focus

The purpose of the case study is to inform on how the MOPAN assessment methodology could be refined to cover how a Multilateral Organisation (MO) is responding to the aims and objectives of the 2030 Agenda: “Transforming our world: the 2030 Agenda for Sustainable Development”. The global community is committed to the achievement of the 2030 Agenda, as signified by 193 Member States adopting it in 2015. The Agenda is results-focussed as the pathway to the achievement of the Sustainable Development Goals (SDGs) and transformative with respect to the way in which it is delivered.

The expectation is that both the way individual organisations work and the partnerships/collaborations between agencies and stakeholders within and beyond development assistance will be reflective of this ‘transformative approach’. The MOPAN methodology, to be relevant in the context of the 2030 Agenda and its global mandate for transformation, needs to establish a means of assessment to identify if (i) the assessed organisations have made a commitment to the 2030 Agenda; (ii) whether that commitment is being adopted and applied throughout the organisation, and (iii) whether there is a reflection of the commitment in the results being achieved.

The case study will be undertaken over a period of eight months (December 2018 – August 2019) and is expected to contribute to MOPAN’s broader learning agenda. The expected outcome of the case study is a proposed approach to integrating an assessment of a MO’s internalisation of the 2030 Agenda into the MOPAN indicator framework and assessment process. The case study will construct and test the proposed approach. Through the testing process, learning generated concerning the appropriateness of the approach will be fed back into the proposed approach and any necessary amendments will be made.

This case study will explore three options for methodological changes regarding the SDGs:

**Option 1:** Include an additional KPI in MOPAN Methodology framework as a catalyst for accelerated and linked organisational strategies, implementation, results and learning -a clear focus on whether the MO is transforming itself in relation to the 2030 Agenda.

**Option 2:** Adjust and amend specific KPI micro-indicators and elements throughout the methodology to assess better alignment of current operations across the MO to the 2030 Agenda – focusing on proxy measures on “fitness to deliver” on the SDGs.

**Option 3:** Conduct a distinct preparedness review to assess whether multilateral organisations have organised themselves in a way that will enable them to successfully deliver on the 2030 Agenda – in particular, assessing the internal adaptation process an organisation is going through and establishing whether or not it is fit for purpose. This would be a ‘bolt-on’ to the MOPAN assessment drawing on information generated by the MOPAN assessment process.

The starting point for the design task of the case study was the ‘mirror’ principle of the MOPAN assessment – considering for an MO the position attained against their stated intent, the efforts planned for and the effects

tracked and responded to by an organisation, in reference to the Generic Indicator Framework and Scoring and Rating System of the MOPAN 3.0 Methodology.

The case study method will explore the three options, or potentially a further emergent option, leaving the space for any further or novel options to emerge as the study progresses. Based on the findings of the options at desk review stage, the case study would aim to develop and deploy robust and measurable indicators and through this testing process propose a way forward for the MOPAN methodology to be further adapted and refined in ways that provides an adequate assessment framework for the response of MOs to the 2030 Agenda.

# Methodology

## Background to the methodology

### *SDG Custodian and partner MOs*

In implementing the case study, the proposed approach is cognizant of the fact that MOs may take two different roles in the 2030 Agenda implementation, (i) Custodian Agencies and (ii) Partner organisations. “Custodian” agencies are UN bodies (and in some cases other international organisations) formally responsible for compiling and verifying country data, metadata, and for submitting the data, along with regional and global aggregates, to the United Nations Statistics Division (UNSD). Custodian status is allocated by the Secretariat (UNDESA<sup>1</sup>) to MOs that have indicated that they wish to be responsible for addressing specific indicators within the SDGs. The term “partner” in this context is used to indicate MOs that have expressed a desire to act on specific indicators, but not to the level of custodian status. All MOs are expected to align with the 2030 Agenda and as such embed the relevant SDGs within their implementation. Therefore, for the purpose of this case study, all MOs not classified as custodian or partner agency will be termed ‘implementing partners’ and will be classified with partner agencies.

Custodian agencies ensure that the data is internationally comparable and develop international standards and methodologies to help countries in monitoring. Country-level data may be published in their databases and used for thematic reporting.<sup>2</sup> “Partner” agencies are organisations that have nominated themselves for a role in the implementation of one or more SDGs in line with the intent of SDG 17 – partnership for the goals. Partnership organisations are not formally named as having a responsibility for specific goals but have made an express commitment to certain aspects of implementation.

### *Moving on from preparedness*

The 2030 Agenda calls for action and for MOs to be fit for purpose. Hence, there is the need for the MOPAN methodology to continue to evolve in ways that will allow tracking of an organisation’s preparedness, incorporation and operationalisation of the 2030 Agenda. This builds on the earlier work of the Technical Working Group (TWG) under cycle 2015-16 to incorporate the global moves on the SDGs within the broad lens of Micro-indicator 1.3 and its underlying elements to ‘investigate if the strategic plan [of the MO] supports the implementation of wider normative frameworks and associated results’. The 2030 Agenda has also emerged within the 2017-18 assessment process as an issue that MOs are actively considerate of/ engaging on across all functional areas.

Moving on from ‘preparedness’ and 3-4 years in to implementation of the 2030 Agenda the focus of MOPAN is naturally moving on to the demonstrated capacity of MOs for (early) delivery of 2030 Agenda, as they move to a position of being fully engaged in implementation according to their stated focus areas. Within this broad frame and informed by this case study, the MOPAN steering Committee – through the TWG - will determine what it wants to explicitly measure and ultimately know about organisational performance vis-à-vis the 2030 Agenda/ SDGs and how this can be best accomplished.

### *Core focus of the case study*

---

<sup>1</sup> UN Department of Economic and Social Affairs (UNDESA) acts as the Secretariat for the SDGs.

<sup>2</sup> UNESCO, 2018, Quick Guide to Education Indicators for SDG 4, p.11.

The core focus of the case study will be on the means by which MOPAN can find a way of assessing:

- The determination by an MO of how specifically they need to transform – in principle and in process - **beyond a “business as usual”** approach to their work to meet the expectations of 2030 Agenda (implicit within this agenda is a ‘raising of the bar’ for all). For document review purposes documentation from 2015 onwards will be included, with 2015 being a ‘baseline’ or comparison point.
- The early actions taken by an MO to translate the above understanding into a clear and resourced process of continuous improvement/reform within their systems and processes, including consideration of additional resources required to work in closer cooperation and partnership; commensurate with **the capacity needed to deliver on this transformative agenda**.
- The early actions taken on delivery which reflect ‘first and following moves’ in the practice of the 2030 Agenda and any points of reflection internally on what this experience reveals in terms of their **readiness to implement** the proposed approaches.
- the extent to which they have built a strong **“fitness to deliver” foundation** for action and the extent of progress from a whole organisational system perspective (i.e. where is the quantum leap forward or where are stresses and strains showing?) and any related management response and respective results.

#### *Rationale for a case study approach*

The term ‘case study’ typically refers to a social or organisational research study set in real-time for a specified and bounded phenomena, for example; a locality, a group of people with defined commonalities or users of the same facility or stakeholders in a related intervention. Case studies are powerful tools to explore questions of process, experience, and relationships, and are primarily qualitative. Statistical and quantitative data can be added to triangulate qualitative evidence and provide context.

Case studies provide a richness of understanding of processes and actors in a given context, including a better understanding of barriers and facilitators to activities as directly experienced. Case studies are highly context dependent; when several are undertaken, this allows the impact of contextual factors to be drawn out which can then inform the wider application and generalisation of research findings.

As a result, if purposefully chosen and analysed, case studies can be used to develop and test the voracity of different scenarios, and how to assess within each. A case study is more likely to provide a robust test for a scenario on how the MOPAN methodology could be refined to take account of the 2030 Agenda because the researchers are exposed to the totality of information provided by actors. In contrast, a quantitative methodology is less likely to elicit information which was not considered in the original conceptualisation. This theme of how an emergent evaluative process can generate relevant factors that may not be present in the initial framework and the evidence generated can be used to build a new scenario and a basis for new knowledge.

The selection of cases can be made based on several strategies, such as, a random sample, purposive selection of cases through stratification, maximum variation, selection of especially problematic or effective cases. In this study, following discussions with the MOPAN Secretariat, cases have been selected based on a stratified approach albeit taking into account geographical scope and availability of data. Details of the case MO selection rationale are given in more detail below.

The proposed case study format uses a mixed methods approach with a strong focus on evidence gathering initially from available documentation, including recent media releases and publications as well as from key informants. As agreed by the Steering Committee TWG and the Secretariat during the scoping stage, the

methodology will aim particularly to gather evidence in a way which sheds light on how MOs catalyse change, on the ground, within their organisation in respect to the 2030 agenda, especially;

- The government/country stakeholder perspective on how the MOs support the successful 2030 Agenda implementation;
- Opportunities for learning across the MOs;
- How MOs interact with each other and other partners ; and  
Identifying examples of good practice and innovation.

#### Relationship to MOPAN assessments and other Case Studies

MOPAN has accumulated a vast body of information since 2015 through its assessment of more than 30 organisations. This places MOPAN in a unique position to build on and complement the individual institutional assessments already conducted, as well as those currently underway. As such this Case study will utilise evidence from previous MOPAN assessments to inform the future development and refinement of MOPAN assessments and other MOPAN outputs. Additionally, this case study will ensure a complementarity with other relevant case studies being conducted, particularly on UN reform to ensure a joined-up approach.

## Method

### *Summary overview*

The study will use a mixed methods approach, drawing on an in depth document review of current and previous MOPAN assessment and relevant documentation. The document review will inform a process of developing a composite hypothesis/or alternative scenarios for how progress towards the 2030 Agenda may be assessed.

Based on the findings of the initial review, working sessions will be undertaken to explore and test the appropriateness and likely evidence generated by the proposed approach. The sample MOs will be used to test the prototype approach (specific indicators and methods) with regards to usability. The sub-set of sample MOs from within the 2019 cycle 3 cohort testing will be a 'bolt-on' at each assessment phase/milestone point, through the document review and engagement with the MO's HQ through semi-structured interviews. Where possible HQ visits of the current cycle will be embedded in the on-going cycle. Additional side visits to HQs of previous cycles will be made where convenient and applicable to assess the viability of the questions.

Evidence from the different reporting streams will be analysed and triangulated using a common framework in order ensure consistency in the generation of learning and findings.

### *Document review*

The document review will encompass available evaluation documentation, including MOPAN assessments from previous cycles and additional secondary data. It is expected that the MOPAN documentation will provide indications of whether the selected agencies are responding to the 2030 Agenda and the extent to which any policy shifts, or restructuring has occurred. It will also require reference to the original documentation that informed the MOPAN documentation and any pertinent updates related to the SDGs.

Building from the direction set within the TWG concept note (August 2018) – the emphasis on examining whether the organisation is currently going through a rigorous and thorough internal process of recognising, understanding and integrating the 2030 Agenda – the team will gather base knowledge about the deliberate actions taken thus far of selected MOs as part of their organisational effectiveness in both preparing for and implementing 2030 Agenda.

Guided by the above, and the initial thinking by the TWG on how MOPAN can engage with the methodological changes regarding the SDGs, the team will consider the existing 'hooks' and/or natural points of alignment within the MOPAN 3.0 Indicator Framework that relate to the transforming nature of 2030 Agenda; how an MO adjusts/ improves the way it organises itself to deliver and the way it manages this change.

The literature and data review as part of the evidence gathering for the evaluation at MO level will include:

- MO documentation on SDGs implementation, frameworks and monitoring and measurement tools.
- MO documentation on results and monitoring, SDGs related evaluations, including single and joint entity evaluations.
- Evidence from the MOPAN assessments, to date, for the selected MO.
- MO documents on strategies, policies, programmes, budgets, processes, partnership and programme monitoring reports and evaluations.

### *Working sessions*

Working with the base information through the desk review, the case study will then use working sessions, in collaboration with the Secretariat to design a prototype approach to data gathering and analysis. This will be

guided by key considerations of what is most critical to assess. Key considerations include, asking what are practical and proportionate tools and methods for assessment, while working to the extent possible within the existing parameters and resourcing of the MOPAN 3.0 methodology.

The case study team will consider the acknowledgement of 2030 Agenda in earlier and current agency strategies and policies and any specific institutional or programming shifts that have occurred with a view to 2030 Agenda implementation. This may relate to commitments to specific SDG indicators and targets or may be a more general focus on the 5 “P”s of the SDGs (People, Planet, Prosperity, Peace and Partnership) and principles such as universality and “no-one left behind”.

#### *HQ visits*

The research team will visit up to six MOs depending on the emerging finding. The visits will be informed by prior data and document reviews (see above) and discussions with the relevant MO leads. At this stage we would anticipate fieldwork being up to 3 days focused on semi structured interviews with key staff. Field visits could be shorter if a current 2019 MO is used and if fieldwork could overlap with planned field assessments.

Planning for each HQ visit will start with prior communications with the identified MO lead in order to. The purpose of these is to introduce the evaluation team, discuss the case study approach and methodology, and identify potential interviewees.

#### *Working sessions*

Working sessions will allow the case study team to reflect on the testing, with targeted follow up discussion and with selected key informants (both from within the relevant assessment teams for cycle 2019 and potentially within the MOs). Working sessions between the team and other relevant people, including the MOPAN Secretariat (conducted by VC or in person if practice) will also provide a platform to draw conclusions on the validity of the proposed approach and refinements to this.

#### *Analysis*

- Analysis will be based on the inquiry matrix so that there is a consistent approach taken to recording and analysis. Evidence sheets will be developed for all 4 MOs.
- Evidence will be recorded on an Excel spreadsheet to ensure clear evidence for each line of inquiry. Evidence sources will be noted (e.g. interviews, documents, MOPAN data). This will be used to support triangulation and to weight evidence.
- An analysis and report of findings will be drafted based on this evidence sheet for each of the selected MOs. This will be reviewed, and factual validation undertaken with the MO focal point.
- An initial overview analysis of the findings from selected MOs will be undertaken with commonalities and discrepancies highlighted. This will be presented for reflection to the TWG, to draw out key findings, identify emerging themes and learning for the final report. The team will reflect on internal challenge and triangulation including with other teams working on MOPAN Case studies, particularly on UN Reform.
- Following this, a final synthesis report setting out recommendations for the case for the inclusion of a 2030 Agenda lens and assessment approach embedded within the MOPAN assessments from 2020 and beyond will be submitted to the MOPAN Secretariat for comment, and ultimately presented to the Steering Committee meeting in Autumn 2019.

#### *Ensuring a consistent approach across case studies*

The team will ensure a consistent approach and quality through:

1. Use of the *inquiry matrix* to record and analyse data
2. Use of standard interview guides for semi-structured interviews

3. Regular virtual team meetings to review findings
4. Regular internal team communications
5. Internal reviews of findings for selected MOs
6. Quality assurance inputs and challenge from quality assurance leads
7. Ongoing and regular engagement with the MOPAN secretariat

### *Reporting*

There will be a range of working products that would guide implementation such as the final selection of the case study agencies, the case study scenario overview for field testing and the field testing plan.

- The major output will be a synthesis report that includes specific learning points as outlined above.
- The report would include detailed analysis of the different scenarios and the results of testing for each selected agency.
- It would also include learning for the MOPAN 3.0 Assessment process in general terms, and specifically reflecting on the process of, and outputs generated by, the case study approach to learning.

Quality Assurance (QA) will be carried out throughout the project with Dorothy Lucks as Team leader responsible for QA, in addition Julian Gayfer will have oversight and QA functions as part of the overarching management of the MOPAN 2019 cycle. The team will also work closely with the Secretariat throughout, particularly at the end of the inception period, at the end of the fieldwork period, and during the completion period for the final report.

Dissemination and publication will be undertaken by MOPAN.

### The Review Framework - Inquiry matrix

An **inquiry matrix** (see Table 1 below) provides the main framework for the analysis and will be used at various stages. It sets out the overall review questions covering 6 main areas, which then are broken down into more detailed sub questions that can be tailored in each MO context to structure interviews and develop the building blocks for the report.

The 6 main areas of inquiry will also be used to structure the final report findings and conclusions. They are:

- Responding to the 2030 Agenda: Is the 2030 Agenda mentioned in strategic documents and in what way?
- Evolution of being fit for purpose: Has there been a shift (2016 on) in MO resources (budget or staffing) to respond to SDGs priorities? Is there an effort by the MO to adjust skill sets and people in line with the immediate and anticipated demands of the 2030 Agenda?
- Making effort and taking action: Are there specific programmes related to the SDGs in line with the respective MO's strategies – has this changed from their pre-2015 programming and if so, to what extent? Are there innovative approaches being considered, commenced or implemented towards transformational agendas.
- Working together, efficient and effective shared business processes: Ensuring a holistic and streamlined approach of all actors involved, and considering strategic directions and evidence of impact/effectiveness, have partnerships been put in place by the MO to implement the 2030 Agenda?

- Delivering results: Has the results framework of the MO been adapted to the 2030 agenda? Are the steps outlined in strategy and operational documents been reflected in the results framework and evaluation plans? Are there are indicators in place that link with the 2030 Agenda indicators framework? Are these results being tracked? Are results becoming evident?
- Measuring impact:  
Are systems in place or being prepared by the MO to measure the effect and impact of an internal agenda on preparedness and response to 2030 Agenda? Is the MO ready to report on its contribution to the 2030 Agenda? Is the leadership taking ownership of the 2030 Agenda call for accelerated impact.

**Table 1: Inquiry matrix**

Key area of inquiry: broad question	Sub-question	Evidence sources/targeting of questions by stakeholder group
<p>1. Responding to the 2030 Agenda: Is the 2030 Agenda mentioned in strategic documents and in what way?</p>	<p>1.1 Is the strategic plan and intended results based on a clear long-term vision aligning with the 2030 Agenda principles and indicators? If so, please detail. If no, what efforts are underway to do so?</p>	<p>Evidence against MOPAN MI 1.1, updated/current individual agency corporate and strategic documents</p>
	<p>1.2 Is the organisational architecture congruent with a clear long-term vision, aligning with the 2030 Agenda, and an associated operating model? If so, please detail. If no, what efforts are underway to do so?</p>	<p>Evidence against MOPAN MI 1.2, updated/current individual agency corporate and strategic documents</p>
	<p>1.3 How does the strategic plan support the implementation of wider normative frameworks and associated results that are aligned with the 2030 Agenda Framework (e.g. UN Reform, QCPR, replenishment commitments, or other resource and results reviews)?</p>	<p>Evidence against MOPAN MI 1.3, updated/current individual agency corporate and strategic documents, interviews with agency staff</p>
	<p>1.4 Does the financial framework (e.g. division between core and no-core resources) support the mandate implementation? If so, please detail. If not, please detail which efforts are underway to do so?</p>	<p>Evidence against MOPAN MI 1.4, updated/current individual agency corporate and strategic documents, interviews with agency staff</p>
<p>2. Delivering results: Are there specific programmes related to the SDGs in line with the respective MO's strategies – has this changed from their pre-2015</p>	<p>2.1 How is the strategic plan and results framework being developed in order to identify needs to be able to support the SDGs implementation? Has this changed since 2015, and if so, to what extent?</p>	<p>Relevant documents (Strategic plan, annual work plans, regional and country strategy documents), interviews with agency staff</p>
	<p>2.2 Do programmes cover not only thematic SDGs focus but also cross-cutting 2030 Agenda issues (e.g. leaving no one behind, gender equality, environmental sustainability)? Please detail.</p>	<p>Annual reports, corporate and thematic evaluations, interviews with agency staff</p>

Key area of inquiry: broad question	Sub-question	Evidence sources/targeting of questions by stakeholder group
programming and if so, to what extent?		
3. Evolution of being fit for purpose: Has there been a shift (2016 on) in MO resources (budget or staffing) to respond to SDGs priorities?	3.1. How does the organisational structure and staffing ensure that human and financial resources are continuously aligned and adjusted to key functions that are essential to be able to respond to the 2030 Agenda priorities?	Evidence against MOPAN MI 3.1, interviews with agency staff
	3.2. Are resource mobilization efforts consistent with the core mandate and strategic priorities that are aligned with the vision of the 2030 Agenda? If yes, please detail. If no, what efforts are underway to do so?	Evidence against MOPAN MI 3.2, current/updated resource mobilization strategies, interviews with agency staff
	3.3. In order to be able to better support the SDGs implementation, are aid reallocation/programming decisions responsive to the need that can be made at a decentralized level? If yes, please detail. If no, what efforts are underway to do so?	Evidence against MOPAN MI 3.3, current/updated resource mobilization strategies and possible reform documents, interviews with agency staff
4. Working together, efficient and effective shared business processes: While ensuring a holistic and streamlined approach of all actors involved, and considering strategic directions and evidence of impact/effectiveness, have	4.1. Does planning, programming and the approval of procedures enable the agility in partnerships to implement the 2030 Agenda, when conditions change? Please detail.	Evidence against MOPAN MI 6.1, current/updated partnership strategies, evaluations on partnership, interviews with agency staff and partners
	4.2. Are partnerships, to implement the 2030 Agenda, based on an explicit statement of comparative advantage e.g. technical knowledge, convening power/partnerships, policy dialogue/advocacy?	Evidence against MOPAN MI 6.2, current/updated partnership strategies, evaluations on partnership, interviews with agency staff and partners

Key area of inquiry: broad question	Sub-question	Evidence sources/targeting of questions by stakeholder group
partnerships been put in place to implement the 2030 Agenda?	4.3. Is there clear adherence to the commitment in the Busan Partnership for Effective Development Cooperation on use of country systems when working with partners to implement the 2030 Agenda?	Evidence against MOPAN MI 6.3, current/updated partnership strategies, evaluations on partnership, interviews with agency staff and partners
	4.4. Do strategies or design identify synergies between partners, to encourage leverage/catalytic use of resources and avoid fragmentation? Please detail.	Evidence against MOPAN MI 6.4, current/updated partnership strategies, evaluations on partnership, interviews with agency staff and partners
	4.5. Are key business practices (planning, design, implementation, monitoring and reporting) co-ordinated with partners (donors, UN agencies, etc.) in order to implement the 2030 Agenda? Please detail.	Evidence against MOPAN MI 6.5, current/updated partnership strategies, evaluations on partnership, interviews with agency staff and partners
	4.6. Is key information (analysis, budgeting, management, results etc.) shared with partners on an ongoing basis? Please detail.	Evidence against MOPAN MI 6.6, current/updated partnership strategies, evaluations on partnership, interviews with agency staff and partners
	4.7. Are clear standards and procedures for accountability implemented to support the success of the 2030 Agenda implementation? Please detail.	Evidence against MOPAN MI 6.7, current/updated partnership strategies, evaluations on partnership, interviews with agency staff and partners
5. Measuring impact: Are systems in place or being prepared to measure the effect and impact of an internal agenda on	5.1. How does leadership ensure the application of an organisation-wide RBM approach that responds to the 2030 Agenda?	Evidence against MOPAN MI 7.1, current/updated Strategic Plan and Results Framework and related documents, corporate evaluations, interviews with agency staff
	5.2. How are corporate strategies, including regional and country strategies, based on a sound RBM focus and logic in order to respond to the 2030 Agenda?	Evidence against MOPAN MI 7.2, current/updated Strategic Plan and Results Framework and related

Key area of inquiry: broad question	Sub-question	Evidence sources/targeting of questions by stakeholder group
preparedness and response to 2030 Agenda?		documents such as regional a/o country strategies, corporate evaluations, interviews with agency staff
	5.3. Are results targets set based on a sound evidence base and logic in order to respond to the 2030 Agenda?	Evidence against MOPAN MI 7.3, current/updated Strategic Plan and Results Framework and related documents, corporate evaluations, interviews with agency staff
	5.4. Do monitoring systems generate high quality, disaggregated and useful performance data in order to respond to the 2030 Agenda?	Evidence against MOPAN MI 7.4, M&E frameworks and methodologies, corporate evaluations, interviews with agency staff
	5.5. Is performance data transparently applied in planning and decision making in order to implement the 2030 Agenda?	Evidence against MOPAN MI 7.5, corporate evaluations, annual reports, interviews with agency staff
6. Making effort and taking action: Is there an effort to adjust skill sets and people in line with the immediate and anticipated demands of the 2030 Agenda?	6.1 Are HR systems and policies performance based and geared to the achievement of results that are in alignment with the 2030 Agenda? If yes, please detail. If no, what efforts are underway to do so?	Evidence against MOPAN MI 3.4, current/updated HR policies and other HR documents, interviews with agency staff
	6.2 How does the organisation ensure that skill sets, and people are constantly in line with the immediate and anticipated demands the 2030 Agenda priorities? Please detail.	HR documents such as organizational performance review results, HR policy documents indicating talent management and training, corporate evaluations, annual reports, interviews with agency staff

## MO selection and rationale

### *MO selection criteria:*

MO selection is key to the case study process. The MOs covered by MOPAN assessments in the period 2015 to 2019 include a diverse range of MOs reflecting different functions (normative, financing, coordination):

- Reflect various roles (Custodian, partner, specialized and multiple roles) in the implementation of the 2030 Agenda.
- Reflect various different SDG thematic focus areas.
- Reflect a range of partnership approaches, successes and challenges on progressing the 2030 Agenda.
- Reflect a range of implementation or integration strategies.

The MO selection was designed to optimize the “testability” of the proposed scenarios. The chosen MOs illustrate a critical approach to test the scenarios across a diversity of MOs to ensure a robust methodology is developed. To avoid duplicated learning, the 4 MO selections are relatively different from one-another. This is based on the focus of thematic areas within the 2030 Agenda, the individual SDGs, or integration/ implementation strategies. This approach was designed to maximize the learning from the case study.

For this purpose, a stratified sampling method was used. The stratification was informed by four main criteria - in sequence; (i) classification of MO with regard to SDG implementation (custodian or partner); (ii) type of agency, (iii) diversity of thematic focus, and (v) feasibility for the case study. The starting point was a list of 33 MOs that were assessed in the proposed reference period for the case study, the three MOPAN 3.0 assessment cycles 2015-2016, 2017-2018 and 2019-2020. Furthermore, consideration was given to the potential for wider contribution of learning from the case studies for MOs’ intent, plans and operations in relation to the 2030 Agenda and the potential for transformational results.

### *Stage 1. Classification for SDG implementation*

The proposal stipulates a case-study assessment of MOs to assess the extent to which they have embraced the 2030 Agenda and are actively implementing its goals and targets. The first pillar of active implementation of the 2030 Agenda was that MOs have integrated elements of the 2030 Agenda into their own organizational strategies. 17 MLOs have a ‘custodian’ status for particular SDG targets. This means that they are mandated to engage with other agencies, organisations and individuals in pursuit of actions to address the respective target and for formal reporting to the High-Level Political Forum (HPLF) on those targets. Other agencies have taken on a responsibility for specific indicators and are called ‘partner agencies’. The remaining agencies may not have an official responsibility for SDG reporting but do have a responsibility to adopt the SDGs as a development framework for implementation. Therefore, these agencies have been classified as ‘implementing partners’. Consequently, the 33 agencies have been divided into two cohorts: custodian and partner.

### *Stage 2. Agency Typology*

Secondly, MOs were shortlisted on the basis of the type of institution. This ensures that the proposed assessment methodology will be applicable across different MO types. For the purpose of the case study, the 33 MOs were classified as: (i) United Nations Entities (generally specialized agencies); (ii) international finance institutions (IFIs); (iii) Global Funds; and, (iv) Treaties/partnerships. There may be some MOs that have a dual function, and this also would be considered in the selection process as part of feasibility and potential contribution to learning. Also, the case study will explore the strength of existing partnerships and collaborations in order to understand the complexities and challenges of building and maintaining partnerships. The case study sample should include at least one of each type.

### *Stage 3. Diversity of thematic focus*

Thirdly, MOs cover a wide range of thematic areas of operation. The 2030 Agenda emphasizes the importance of the 17 thematic areas of the SDGs and the case study will attempt to cover a range of thematic areas to ensure that the methodology proposed is applicable across different SDG areas of focus. Many agencies will have a multiple focus and as such a broad sweep of sectors can be considered within a small sample. However, there may be justification for including an MO with a narrow focus on one SDG to assess the extent to which a focused mandate may generate faster readiness, adoption and implementation of the 2030 Agenda.

### *Stage 4. Feasibility*

This stage of the assessment brings in pragmatic matters of how to operationalize the process of data collection from the agencies. Where possible to optimize field testing, agencies from the current MOPAN cycle were included to enable the methodology to be integrated within the on-going MOPAN processes. The possibility of carrying out specific field tests would also be considered feasibility, particularly where agencies from previous MOPAN cycles are located in close proximity to on-going 2019 assessments.

The criteria outlined above reduced the list of MOs to include as potential case studies to a long list of 33 candidates (set out in Annex 1). Of these, the list will be narrowed down to 4 MOs.

## Limitations

This case study has several limitations most of which are inherent in the nature of this approach and the available time and budget, and need to be kept in mind as caveats or contextual considerations as the study proceeds and when findings are discussed later.

One of the main challenges and limitations is the given the focus of each agency for the 2030 Agenda will be different, the preparation of a common methodology is expected to be challenging. This may be mitigated by trialling a customised approach. Additionally, each MOs current stage of preparedness and implementation of SDGs is likely to be different and this too will need to be taken into account. The timing of the case study being conducted over 9 months, and the resources mean that only a limited number of MOs can be included for detailed consideration, however this can be mitigated against through the choosing of representative MOs, as outlined in this section.

# Annex 1: MO Selection list

All MLOs (Organisations assessed in 2015-2016, 2017-2018, 2019-20) that are not custodian agencies are classified as an implementing agency to the 2030 Agenda as it is a universal agenda. The definition in the fourth column is for those agencies with at least one specific designated indicator but also includes all other agencies as implementing partner.

## **MO Selection for Fieldwork: Methodology and Recommendations**

The MO selection is designed to optimize the “testability” of the three proposed scenarios. The chosen MOs should illustrate a critical approach to test the scenarios across a diversity of MOs to ensure a robust methodology is developed. To avoid duplicated learning, the 4 MO selections should be relatively different from one-another. This could be based on the focus of thematic areas within the 2030 Agenda, the individual SDGs, or integration/implementation strategies. This approach is designed to maximize the learning from the case study.

For this purpose, a stratified sampling method will be used. The stratification will be informed by four main criteria - in sequence; (i) classification of MO with regard to SDG implementation (custodian or partner); (ii) type of agency, (iii) diversity of thematic focus, and (v) feasibility for the case study. The starting point was a list of 33 MOs that were assessed in the proposed reference period for the case study, the three MOPAN 3.0 assessment cycles 2015-2016, 2017-2018 and 2019-2020. Furthermore, consideration would be given to the potential for wider contribution of learning from the case studies for MOs’ intent, plans and operations in relation to the 2030 Agenda and the potential for transformational results.

### **Stage 1. Classification for SDG implementation**

The proposal stipulates a case-study assessment of MOs to assess the extent to which they have embraced the 2030 Agenda and are actively implementing its goals and targets. The first pillar of active implementation of the 2030 Agenda is that MOs have integrated elements of the 2030 Agenda into their own organizational strategies. 17 MLOs have a ‘custodian’ status for particular SDG targets. This means that they are mandated to engage with other agencies, organisations and individuals in pursuit of actions to address the respective target and for formal reporting to the High-Level Political Forum (HPLF) on those targets. Other agencies have taken on a responsibility for specific indicators and are called ‘partner agencies’. The remaining agencies may not have an official responsibility for SDG reporting but do have a responsibility to adopt the SDGs as a development framework for implementation. Therefore, these agencies have been classified as ‘implementing agencies’. Consequently, the 33 agencies will be divided into two cohorts: custodian and partner.

### **Stage 2. Agency Typology**

Secondly, MOs are shortlisted on the basis of the type of institution. This will ensure that the proposed assessment methodology will be applicable across different MO types. For the purpose of the case study, the 33 MOs were classified as: (i) United Nations Entities (generally specialized agencies); (ii) international finance institutions (IFIs); (iii) Global Funds; and, (iv) Treaties/partnerships. There may be some MOs that have a dual function, and this also would be considered in the selection process as part of feasibility and potential contribution to learning. Also, the case study will explore the strength of existing partnerships and collaborations in order to understand the complexities and challenges of building and maintaining partnerships. The case study sample should include at least one of each type.

### **Stage 3. Diversity of thematic focus**

Thirdly, MOs cover a wide range of thematic areas of operation. The 2030 Agenda emphasizes the importance of the 17 thematic areas of the SDGs and the case study will attempt to cover a range of thematic areas to ensure that the methodology proposed is applicable across different SDG areas of focus. Many agencies will have a multiple focus and as such a broad sweep of sectors can be considered within a small sample. However, there may be justification for including an MO with a narrow focus on one SDG to assess the extent to which a focused mandate may generate faster readiness, adoption and implementation of the 2030 Agenda.

### **Stage 4. Feasibility**

This stage of the assessment brings in pragmatic matters of how to operationalize the process of data collection from the agencies. Where possible to optimize field testing, agencies from the current MOPAN cycle will be included to enable the methodology to be integrated within the on-going MOPAN processes. The exact process for how this will occur without compromising the validity of the on-going assessments is yet to be determined but would be given detailed consideration as part of the initial scoping of the different options. However, the possibility of carrying out specific field tests would also be considered feasibility, particularly where agencies from previous MOPAN cycles are located in close proximity to on-going 2019 assessments.

The criteria outlined above reduced the list of MOs to include as potential case studies to a long list of 33 candidates (set out in Table 1).

**Table 1: MO Selection List (Organisations assessed in 2015-2016, 2017-2018, 2019-20)**

Note: All MLOs that are not custodian agencies are classified as an implementing agency to the 2030 Agenda as it is a universal agenda. The definition in the fourth column is for those agencies with at least one specific designated indicator but also includes all other agencies as implementing partner.

	MO	Assess. year	Designated custodian agency for <sup>3</sup>	Designated agency for specific indicators <sup>4</sup> (partner agency) or aligned thematic focus (implementing partner)	Type of Organisation	Thematic focus	Implementation/integration strategies (list max.4 main documents a/o partnerships)
1	<b>ADB</b>	2017-18	Not a custodian agency	Implementing partner	IFI	Economy, finance	<ul style="list-style-type: none"> <li>• ADB's Corporate Results Framework 2017-2020 is aligned with the SDGs</li> <li>• Core tenets of ADB's Strategy 2020 aligns with the SDG framework</li> <li>• Biennial Sustainability Report highlights integration of sustainability into ADB's operations and organizational activities during 2016-2017</li> <li>• Technical assistance and knowledge support and creating DMC program strategies that focus on aspects of the 2030 Agenda</li> </ul>
2	<b>AfDB</b>	2015-16	Not a custodian agency	Implementing partner	IFI	Economy, finance	<ul style="list-style-type: none"> <li>• AfDB's Strategy is in alignment with SDGs (High-Five, key priorities that are critical to achieve the SDGs)</li> <li>• AfDB launched a tool for tracking progress on its "High-Five" key development priorities and creating opportunities for corrective action.</li> <li>• AfDB is partner of African Leadership in ICT for Knowledge Society Advancement</li> <li>• AfDB is partner of the Global Platform for Sustainable Cities (GPSC)</li> </ul>
3	<b>CGIAR</b>	2019	Not a custodian agency	Implementing partner	Treaty/ partnership	Rural poverty, food security, human health and nutrition, and sustainable management of natural resources	<ul style="list-style-type: none"> <li>• CGIAR's Strategy and Results Framework is in alignment with SDGs</li> <li>• CGIAR is partner of World Business Council for Sustainable Development (WBCSD) Climate Smart Agriculture (CSA)</li> <li>• CGIAR's research for development and livelihood impact contributes to the SDGs</li> </ul>

<sup>3</sup> As in Tier Classification for Global SDG Indicators, <https://unstats.un.org/sdgs/iaeg-sdgs/tier-classification/>

<sup>4</sup> Ibid.

4	<b>EBRD</b>	2019 (this has been cancelled)		Implementing partner			
5	<b>FAO</b>	2017-18	19 SDG indicators  2.1.1, 2.1.2, 2.3.1, 2.3.2, 2.4.1, 2.5.1, 2.5.2, 2.a.1, 2.c.1, 5.a.1 (a), 5.a.2, 6.4.1, 6.4.2, 14.4.1, 14.6.1, 14.b.1, 15.1.1, 15.2.1, 15.4.2  1.1.1.1	1 indicator  2.a.2	UN agency	Food and agriculture	<ul style="list-style-type: none"> <li>• FAO's Medium Term Plan is in alignment with SDGs</li> <li>• Together with FAO and WFP, IFAD builds a unique thematic partnership, the RBAs (Rome Based Agencies), in supporting the SDGs implementation.</li> <li>• FAO is partner at the Joint Programme on gender equality and women empowerment - Rural women economic empowerment component.</li> <li>• The Committee of World Food Security (CFS), hosted by FAO with IFAD and WFP, is known as the foremost inclusive international and intergovernmental platform for all stakeholders to work together to ensure food security and nutrition for all. FAO also launched six multi-stakeholder partnership - called Global Knowledge Products -to strengthen support on specific themes covered by various SDGs.</li> </ul>
6	<b>GAVI</b>	2015-16	Not a custodian agency	Implementing partner	Fund	Health; Access to immunisation	<ul style="list-style-type: none"> <li>• GAVI's Strategic Framework is in alignment with SDGs.</li> <li>• GAVI joins the "Global Action Plan", an initiative where 11 global health organizations commit to new ways of working together for greater impact (towards the SDGs)</li> </ul>
7	<b>GEF</b>	2017-18	Not a custodian agency	Implementing partner	Fund	Environment	<ul style="list-style-type: none"> <li>• SDGs are highly considered in GEF-7's Programming Directions</li> <li>• GEF occupies a unique space in the global partnership for sustainable development and is supporting the vision embodied in the SDGs.</li> <li>• GEF supports efforts across multiple, interlinked global environment domains that are closely aligned with the SDGs.</li> </ul>
8	<b>GFATM</b>	2015-16	Not a custodian agency	Implementing partner	Fund	Health; AIDS, Tuberculosis and Malaria	<ul style="list-style-type: none"> <li>• GFATM Strategy is in alignment with SDGs</li> <li>• GFATM joins the "Global Action Plan", an initiative where 11 global health organizations commit to new ways of working together for greater impact (towards the SDGs)</li> <li>• GFATM and WHO share a common commitment to Universal Health Coverage (UHC) and the SDGs, a common Strategic Framework.</li> </ul>

9	GPE	2017-18	Not a custodian agency	Implementing partner	Fund/ Partnership	Education	<ul style="list-style-type: none"> <li>GPE's Strategic Plan is in alignment with the SDGs</li> <li>The GPE, the Partnership, has adopted SDG 4 as its global vision, and emphasizes that education is central to achieving all 17 SDGs.</li> </ul>
10	IDB	2015-16	Not a custodian agency	Implementing partner	IFI	Economy, finance	<ul style="list-style-type: none"> <li>IDB Group joins other MDBs' to catalyze low-emissions and climate-resilient development</li> <li>IDB's Office of Outreach and Partnerships works with governments, companies, academia, foundations, and others to forge and maintain partnerships to advance the SDGs. In the past three years, they have helped mobilize an annual average of \$4 billion in resources from 400+ organizations, all of which are allocated to projects that improve lives in the region.</li> </ul>
11	IFAD	2017-18	Not a custodian agency	Partner agency  1 indicator  1.4.2	UN agency	Poverty and hunger in rural areas	<ul style="list-style-type: none"> <li>IFAD's fifth Strategic Framework (2016-2025) situates IFAD in the evolving global context and articulates its contribution to the 2030 Agenda for Sustainable Development.</li> <li>Together with FAO and WFP, IFAD builds a unique thematic partnership, the RBAs (Rome Based Agencies), in supporting the SDGs implementation.</li> <li>IFAD is partner at the Joint Programme on gender equality and women empowerment - Rural women economic empowerment component.</li> <li>IFAD joins Compact2025, an initiative for ending hunger and undernutrition by 2025.</li> </ul>
12	IFC	2019 (this has been cancelled)					
13	ILO	2015-16	15 SDG indicators  1.3.1, 1.a.2, 5.5.2, 8.2.1, 8.3.1, 8.5.1, 8.5.2, 8.6.1, 8.7.1, 8.8.1, 8.8.2, 8.b.1,	3 indicators  1.1.1, 4.3.1, 16.10.1	UN agency	Labour	<ul style="list-style-type: none"> <li>Strategic Plan 2018-21 in alignment with SDGs</li> <li>Major contribution to SDG8 through its "Decent Work and the 2030 Agenda for Sustainable Development: How to achieve the Sustainable Development Goals through Decent Work"</li> <li>ILO chairs Action Group of Alliance 8.7 (named after target 8.7), a global partnership for eradicating forced labour, modern slavery, human trafficking and child labour around the world.</li> <li>ILO developed an integrated support tool for tripartite constituents, entitled Decent Work for Sustainable Development Resource Platform (DW4SD). The web-based Platform and a trainers' guide were successfully tested.</li> </ul>

			10.4.1, 10.7.1, 14.c.1				
14	IOM	2017-18	1 SDG indicator  10.7.2	Implementing partner	UN agency	Migration	<ul style="list-style-type: none"> <li>Strategic Plan in alignment with SDGs</li> <li>IOM chairs the Migration Action Group as a partner of Alliance 8.7</li> <li>IOM is in charge of the “Global Compact for Migration”, that is framed in a way consistent with target 10.7 of the 2030 Agenda</li> <li>IOM holds the “Migration Governance Framework” that inter alia builds on 2030 Agenda principles.</li> </ul>
15	Montreal Protocol	2019	Not a custodian agency	Implementing partner	Treaty/ partnership	Climate; Protection of stratospheric ozone	<ul style="list-style-type: none"> <li>Montreal Protocol leads together with UNEP the Ozon Action Programme supporting 4 different SDGs</li> </ul>
16	OHCHR	2017-18	5 SDG indicators  10.3.1, 16.1.2, 16.10.1, 16.a.1, 16.b.1	1 indicator  5.1.1	UN agency	Promotion and protection of Human Rights	<ul style="list-style-type: none"> <li>OHCHR Management Plan in alignment with SDGs.</li> <li>OHCHR launched “Report on the contributions of the right to health framework to the effective implementation and achievement of the health-related Sustainable Development Goals”.</li> <li>OHCHR developed interactive database that explores links between human rights and the SDGs.</li> </ul>
17	UNAIDS	2015-16	1 SDG indicator  3.3.1	Implementing partner	UN agency	Health; HIV and AIDS	<ul style="list-style-type: none"> <li>UNAIDS 2016–2021 Strategy in alignment with SDGs.</li> <li>UNAIDS joins the “Global Action Plan”, an initiative where 11 global health organizations commit to new ways of working together for greater impact (towards the SDGs)</li> <li>UNAIDS Fast-Track strategy outlines plans to step up the HIV response in low- and middle-income countries to meet the SDG 3 target to end AIDS by 2030.</li> </ul>
18	UNCTAD	2019	8 SDG indicators  10.a.1, 12.6.1, 16.4.1, 17.3.1,	1 indicator  17.4.1	UN agency	Trade, investment and development issues	<ul style="list-style-type: none"> <li>UNCTAD’s Strategic Plan is in alignment with the SDGs.</li> <li>UNCTAD, together with FAO and UNEP, partners in technical assistance on issues related to market access and trade-related aspects, supporting SDG 14.</li> <li>UNCTAD is leading inter-agency dialogue on monitoring and accountability of the means for implementation targets, and accordingly, UNCTAD contributes to all 19 specific targets that belong to Goal 17.</li> </ul>

			17.5.1, 17.10.1, 17.11.1, 17.12.1				<ul style="list-style-type: none"> <li>• UNCTAD hosts an online inventory of existing UNCTAD technical cooperation tools, research &amp; analysis products, dialogue platforms and soft-law instruments relevant to achieving the SDGs.</li> </ul>
19	UNESCO	2017-18	22 SDG indicators  1.a.2, 4.1.1, 4.2.2, 4.3.1, 4.4.1, 4.5.1, 4.6.1, 4.7.1, 4.a.1, 4.c.1, 6.5.2, 9.5.1, 9.5.2, 11.4.1, 12.8.1, 12.a.1, 13.3.1, 13.3.2, 14.3.1, 14.a.1, 16.10.2, 17.6.1	5 indicators  4.2.1, 4.b.1, 14.1.1, 14.2.1, 16.10.1	UN agency	Contribution to peace and security by promoting international collaboration through educational, scientific, and cultural reforms	<ul style="list-style-type: none"> <li>• UNESCO's medium-term Strategy in alignment with SDGs.</li> <li>• UNESCO holds "Education 2030 Framework for Action" that is described as the roadmap for achieving SDG 4.</li> <li>• UNESCO is responsible for the coordination of the Global Action Programme (GAP) on Education for Sustainable Development (ESD).</li> <li>• UNESCO published a guide for education professionals on the use of ESD in learning for the SDGs, and consequently to contribute to achieving the SDGs.</li> <li>• UNESCO hosts an online library that provides SDGs resources for educators.</li> </ul>
20	UNFPA	2017-18	4 SDG indicators  5.2.1, 5.2.2, 5.6.1, 5.6.2	13 SDG indicators  3.1.1, 3.1.2, 3.3.1, 3.7.1, 3.7.2, 3.8.1, 5.3.1, 5.3.2, 11.a.1, 16.1.3, 16.9.1, 17.18.1, 17.19.2	UN agency	Reproductive health	<ul style="list-style-type: none"> <li>• UNFPA's Strategic Plan is in alignment with SDGs.</li> <li>• UNFPA's Strategic Plan has a common chapter on the SDGs, together with UNDP, UN Women, and UNICEF</li> <li>• UNFPA joins the "Global Action Plan", an initiative where 11 global health organizations commit to new ways of working together for greater impact (towards the SDGs)</li> <li>• A Monitoring Framework was developed as part of the joint UNECE–UNFPA project 'Enhanced integration of population dynamics into development planning: follow-up to the ICPD in the UNECE region'. This framework serves as a tool that draws on and contributes to SDG monitoring. It was designed to not require any additional data collection but draws on existing databases such as data from Voluntary National Reviews.</li> </ul>
21	UNIDO	2019	6 SDG indicators	Implementing partner	UN agency	Promotion and acceleration of industrial development	<ul style="list-style-type: none"> <li>• UNIDO' Medium Term Program Framework is in alignment with SDGs.</li> <li>• UNIDO is in the process of elaborating a strategy to report on SDGs via their delivery of technical cooperation in their administrative system.</li> <li>• UNIDO released an analytical publication titled Statistical Indicators of inclusive and sustainable industrialization was released.</li> </ul>

			9.2.1, 9.2.2, 9.3.1, 9.3.2, 9.4.1, 9.b.1				<ul style="list-style-type: none"> <li>UNIDO's flagship and innovative initiative, the Programme for Country Partnership (PCP), is a new programmatic framework which has been developed as an integrated approach to achieve inclusive and sustainable industrial development within the context of the 2030.</li> </ul>
22	UNODC	2019	16 SDG indicators  3.5.1, 5.2.1, 5.2.2, 11.7.2, 15.7.1, 15.c.1, 16.1.1, 16.1.3, 16.1.4, 16.2.2, 16.3.1, 16.3.2, 16.4.1, 16.4.2, 16.5.1, 16.5.2	2 SDG indicators  10.7.2, 16.2.3	UN agency	Drug control and crime prevention	<ul style="list-style-type: none"> <li>UNODC's Strategic Framework in alignment with the SDGs.</li> <li>UNODC provides normative, analytical and operational assistance to Member States for strengthening the effectiveness, fairness and accountability of their criminal justice institutions to tackle crime, corruption and terrorism. UNODC's work therefore supports all the targets included under SDG 16.</li> <li>UNODC launched a Handbook on Results-Based Management and the 2030 Agenda for Sustainable Development</li> <li>UNODC is partner (together with UNDP) of the programme "Parliamentarians Advancing Anti-Corruption through the UN Convention Against Corruption (UNCAC)" that supports mainly Goal 16.</li> </ul>
23	UN Women	2017-18	6 SDG indicators  5.1.1, 5.2.1, 5.2.2, 5.4.1, 5.5.1, 5.c.1	10 SDG indicators  1.4.2, 4.7.1, 5.3.1, 5.6.1, 5.6.2, 5.a.1 (a), 5.a.2, 11.7.2, 16.1.3, 16.7.1	UN agency	Gender equality and empowerment of women	<ul style="list-style-type: none"> <li>UN Women's Strategic Plan is in alignment with SDGs.</li> <li>UN Women's Strategic Plan has a common chapter on the SDGs, together with UNDP, UNFPA, and UNICEF</li> <li>UN Women joins the "Global Action Plan", an initiative where 11 global health organizations commit to new ways of working together for greater impact (towards the SDGs)</li> <li>UN Women launched the report "Turning promises into action: Gender equality in the 2030 Agenda for Sustainable Development". The report uncovers significant gaps for women's empowerment and puts forth a robust agenda to shift gears.</li> </ul>
24	UN-Habitat	2015-16	11 SDG indicators  1.4.1, 1.4.2, 6.3.1, 11.1.1, 11.2.1, 11.3.1, 11.3.2, 11.6.1,	9 SDG indicators  1.5.1, 5.a.1 (a), 6.1.1, 11.5.1, 11.6.2, 11.7.2, 11.b.1, 11.b.2, 13.1.2	UN agency	Human settlements and sustainable urban development	<ul style="list-style-type: none"> <li>UN Habitat's new Strategic Plan (2020-2025) is in alignment with SDGs.</li> <li>UN Habitat developed work plans at the agency level to monitor and report on the 2030 Agenda and the SDGs, specifically around the global monitoring of SDG 11.</li> <li>UN Habitat develops a new strategy of portfolio development to ensure a greater convergence of thematic areas and their results expected to contribute to the transformative dynamic of NUA and 2030 Agenda.</li> </ul>

			11.7.1, 11.a.1, 11.c.1				
25	UNHCR	2017-18	Not a custodian agency	Partner agency  1 SDG indicator  10.7.2	UN agency	Protection for refugees and forcibly displaced communities and stateless people	<ul style="list-style-type: none"> <li>UNHCR's Strategic Directions are in alignment with SDGs</li> <li>In the lead-up to the 2030 Agenda, UNHCR worked together with other agencies, such as IOM, OCHA and the Special rapporteur of the Human Rights of IDPs, to ensure that all persons of concern to UNHCR were included in its guiding vision through the principle of "leave no one behind" that underpins the Agenda.</li> </ul>
26	UNRWA	2017-18	Not a custodian agency	Implementing partner	UN agency	Relief and human development for Palestinian refugees	<ul style="list-style-type: none"> <li>UNRWA's Medium Term Strategy (2016-2021) is aligned with the SDGs.</li> <li>UNRWA joins "Youth Employment for Peace and Resilience", multi-stakeholder commitment led by UNDP and ILO with support from UNHCR and UNRWA.</li> </ul>
27	UNDP	2015-16	6 SDG indicators  5.c.1, 16.6.2, 16.7.1, 16.7.2, 17.15.1, 17.16.1	3 SDG indicators  1.2.2, 5.2.1, 5.2.2	UN agency	Global development (poverty reduction, HIV/AIDS, democratic governance, energy and environment, social development, and crisis prevention and recovery)	<ul style="list-style-type: none"> <li>UNDP's Strategic Plan is in alignment with SDGs.</li> <li>UNDP's Strategic Plan has a common chapter on the SDGs, together with UNFPA, UN Women, and UNICEF</li> <li>UNDP joins the "Global Action Plan", an initiative where 11 global health organizations commit to new ways of working together for greater impact (towards the SDGs).</li> <li>Responding to requests from Member States for coherent and integrated support from the UN development system in implementing the 2030 Agenda, UNDP spearheaded the development of the Mainstreaming, Acceleration, Policy Support (MAPS) common approach, which was formally adopted by the UNDG in October 2015.</li> </ul>
28	UNOCHA	2015-16	Not a custodian agency	Implementing partner	UN agency	Humanitarian; response to complex emergencies and natural disasters	<ul style="list-style-type: none"> <li>UNOCHA's Strategic Plan is in alignment with SDGs.</li> <li>UNOCHA joins the Connecting Business initiative (CBI), a multi-stakeholder initiative engaging the private sector in creating more resilient communities and meeting the needs of people affected by humanitarian emergencies.</li> <li>UNOCHA joins the Pacific Partnership for Atoll Water Security that will facilitate improved knowledge sharing and advocacy between drought-affected Pacific SIDS, relevant development partners, regional and international organizations.</li> </ul>

29	UNICEF	2015-16	17 SDG indicators  2.2.1, 2.2.2, 3.1.2, 3.2.1, 3.2.2, 3.b.1, 4.2.1, 5.2.1, 5.2.2, 5.3.1, 5.3.2, 6.1.1, 6.2.1, 8.7.1, 16.2.1, 16.2.3, 16.9.1	7 SDG indicators  1.2.1, 1.2.2, 1.4.1, 3.1.1, 3.8.1, 4.2.2, 4.a.1	UN agency	Emergency food and healthcare for children	<ul style="list-style-type: none"> <li>• UNICEF's Strategic Plan is in alignment with SDGs.</li> <li>• UNICEF's Strategic Plan has a common chapter on the SDGs, together with UNDP, UN Women, and UNFPA.</li> <li>• UNICEF joins the "Global Action Plan", an initiative where 11 global health organizations commit to new ways of working together for greater impact (towards the SDGs).</li> <li>• UNICEF's Strategy for Health and Strategy for Water Sanitation and Hygiene (WASH), were both completed in 2015 and are aligned to the SDGs' timeline (2016-2030)</li> </ul>
30	UNEP	2015-16	32 SDG indicators  (This includes UN Environmental Programme, UN Environmental Programme-World Conservation Monitoring Center, and UN Environment Climate Technology Center and Network.)  2.4.1, 6.3.2, 6.5.1, 6.6.1, 6.a.1, 6.b.1, 8.4.1, 8.4.2,	56 indicators  1.4.2, 1.5.1, 1.5.2, 1.5.3, 2.4.1, 2.5.1, 2.5.2, 3.9.1, 3.9.2, 3.9.3, 4.7.1, 4.a.1, 5.a.1 (a), 6.1.1, 6.2.1, 6.3.1, 6.4.1, 6.4.2, 6.a.1, 6.b.1, 7.a.1, 8.9.1, 9.1.1, 9.1.2, 9.4.1, 11.1.1, 11.2.1, 11.3.1, 11.5.1, 11.5.2, 11.6.1, 11.6.2, 11.b.1, 11.b.2, 12.8.1, 12.b.1, 13.1.1, 13.1.2, 13.2.1, 13.3.1, 13.3.2, 13.a.1, 14.3.1, 14.a.1, 15.1.1, 15.2.1, 15.3.1, 15.4.2, 15.5.1, 15.6.1, 15.7.1, 15.8.1, 15.c.1, 16.10.2, 17.16.1, 17.18.1	UN agency	Global environment	<ul style="list-style-type: none"> <li>• UNEP's medium-term strategy is in alignment with SDGs.</li> <li>• UNEP's report on "Rethinking Impact to Finance the SDGs" lays out and develops the ideas behind the Positive Impact Initiative. It addresses financial institutions, but also for businesses, national and local public authorities, academia, civil society and everyday people.</li> <li>• UNEP and the European Commission have agreed to a 'Roadmap on Healthy, Productive and Resilient Oceans.', supporting SDG 14.</li> <li>• UNEP and WHO launched partnership on Environmental Health, supporting 6 different SDGs.</li> </ul>

			12.1.1, 12.2.1, 12.2.2, 12.3.1, 12.4.1, 12.4.2, 12.5.1, 12.6.1, 12.7.1, 12.c.1, 14.1.1, 14.2.1, 14.5.1, 14.7.1, 14.c.1, 15.1.2, 15.4.1, 15.9.1, 15.a.1, 15.b.1, 17.7.1, 17.14.1				
31	World Bank	2015-16	World Bank Group: 22 SDG indicators  1.1.1, 1.2.1, 1.4.2, 3.8.2, 5.1.1, 7.1.1, 8.10.2, 9.1.1, 9.3.2, 10.1.1, 10.2.1, 10.7.1, 10.c.1, 12.a.1, 15.a.1, 15.b.1, 16.5.2, 16.6.1, 17.3.2, 17.4.1, 17.13.1, 17.17.1	22 SDG indicators  1.2.2, 1.3.1, 2.3.2, 3.1.1, 3.2.1, 3.2.2, 4.2.1, 4.6.1, 5.5.1, 5.a.1 (a), 5.a.2, 7.2.1, 7.3.1, 8.1.1, 8.2.1, 8.b.1, 9.2.1, 10.7.2, 16.10.2, 17.1.1, 17.18.3, 17.19.1	IFI	Economy, finance	<ul style="list-style-type: none"> <li>World Bank's corporate strategy is in alignment with the 2030 Agenda.</li> <li>World Bank joins the "Global Action Plan", an initiative where 11 global health organizations commit to new ways of working together for greater impact (towards the SDGs).</li> <li>World Bank published "Financing and implementing Sustainable Development Goals: Ideas for Action"</li> <li>World Bank's SDG Indicators Group, comprising subject matter experts across different thematic groups, provides technical input to the IAEG-SDGs and reports the indicator estimates for which the institution is responsible. (Of the 20 indicators for which the Bank is custodian or co-custodian (and therefore directly responsible for) 8 are Tier 1, 11 are Tier 2 and 1 is a Tier 3 indicator. Over the two past years, 8 indicators have moved up from Tier 3 to Tier 2.)</li> </ul>
32	WFP	2017-18	Not a custodian agency	Implementing partner	UN agency	Humanitarian aid, tackling hunger	<ul style="list-style-type: none"> <li>WFP's Strategic Plan (2017–2021) in alignment with the 2030 Agenda.</li> <li>WFP joins the "Global Action Plan", an initiative where 11 global health organizations commit to new ways of working together for greater impact (towards the SDGs)</li> <li>WFP issued a report titled "World Food Assistance 2017: Taking Stock and Looking Ahead", analyzing trends, challenges and solutions in food assistance. The report places humanitarian action, risk and vulnerability at the core of achieving the SDGs, particularly SDG 2.</li> <li>WFP is partner at the Joint Programme on gender equality and women empowerment - Rural women economic empowerment component.</li> </ul>

							<ul style="list-style-type: none"> <li>WFP joins Compact2025, an initiative for ending hunger and undernutrition by 2025.</li> </ul>
33	WHO	2017-18	<p>34 SDG indicators</p> <p>(This includes indicators assigned to WHO and WHO-FCTC.)</p> <p>1.a.2, 2.2.1, 2.2.2, 3.1.1, 3.1.2, 3.3.2, 3.3.3, 3.3.4, 3.3.5, 3.4.1, 3.4.2, 3.5.1, 3.5.2, 3.6.1, 3.8.1, 3.8.2, 3.9.1, 3.9.2, 3.9.3, 3.a.1, 3.b.1, 3.b.3, 3.c.1, 3.d.1, 5.2.1, 5.2.2, 6.1.1, 6.2.1, 6.3.1, 6.a.1, 6.b.1, 7.1.2, 11.6.2, 16.1.1</p>	<p>13 SDG indicators</p> <p>1.4.1, 3.2.1, 3.2.2, 3.3.1, 3.7.1, 3.7.2, 5.3.1, 5.3.2, 5.6.2, 13.2.1, 13.3.1, 13.3.2, 16.1.3</p>	UN agency	Health	<ul style="list-style-type: none"> <li>WHO's Strategic Plan is in alignment with SDGs.</li> <li>WHO's "Universal Health Coverage Data Portal" shows where countries need to improve access to services, and where they need to improve information. It monitors target 3.8.</li> <li>WHO launches the World Health Statistics series, an annual snapshot of the state of the world's health. The 2018 edition contains the latest available data for 36 health-related SDG indicators.</li> <li>WHO joins the "Global Action Plan", an initiative where 11 global health organizations commit to new ways of working together for greater impact (towards the SDGs).</li> </ul>



---

## Case Study:

How to assess the performance of Multilateral Organisations in safeguarding against sexual exploitation, abuse and harassment

Draft Inception Report

---

# Contents

Acronyms	3
1. Background	4
1.1 Purpose	5
1.2 Scope	5
1.3 Expected outputs	6
2. Methodology	7
2.1 Background to the methodology	7
2.2 Methods	9
2.3 The Inquiry Framework	14
2.4 MO selection and rationale	15
2.5 Intended use/users	19
2.6 Limitations	19
Annex 1: Inquiry Matrix	20
Annex 2: Typology for sample of MOs	21
Annex 3: Overview of SEA/SH prevention and response approaches evident in reviewed MOPAN agencies	24

# Acronyms

AfDB	African Development Bank
ADB	Asian Development Bank
DAC	Development Assistance Committee
DFID	Department for International Development (United Kingdom)
FAO	Food and Agricultural Organisation
GEF	Global Environmental Fund
GPE	Global Partnership for Education
HQ	Headquarters
IFAD	International Fund for Agricultural Development
IASC	Inter-Agency Standing Committee
IOM	International Organisation for Migration
MO	Multilateral Organisation
MOPAN	Multilateral Organisation Performance Assessment Network
OHCHR	Office of the High Commissioner of Human Rights
PSEA	Prevention of Sexual Exploitation and Abuse
SEA	Sexual exploitation and abuse
SH	Sexual Harassment
TWG	Technical Working Group (MOPAN)
UN Women	United Nations Women
UNDP	United Nations Development Programme
UNFPA	United Nations Population Fund
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNRWA	United Nations Relief and Works Agency for Palestine Refugees in the Near East
WB	The World Bank
WFP	World Food Programme
WHO	World Health Organisation

# 1. Background

## *Background on process*

MOPAN members decided in April 2018 that the MOPAN 3.0 methodology presented a significant gap: it did not explicitly measure organisations' efforts in putting measures in place to prevent and address sexual exploitation and abuse (within the MOs and the people they work with) and sexual harassment (within MOs). Given this topic has gained a high profile due to recent revelations of abuses across the development sector, they decided to explore the possibility of updating the MOPAN methodology to include this aspect.

This Case Study has therefore been commissioned by MOPAN as part of its methodology revision plan to **update the MOPAN 3.0 methodology to integrate safeguarding against sexual exploitation and abuse (SEA) and sexual harassment (SH) in multilateral organisations.**

The Case Study, henceforth SEAH study, builds on a Concept Note elaborated by the MOPAN Secretariat with three Technical Working Group (TWG) members (FR, NL, UK) and discussed by the TWG on 11 September 2018, and a further Note presented to the TWG in November 2018 which proposed this case study and was adopted by MOPAN's Steering Committee on 29 November 2018.

The 2017-18 MOPAN assessments gathered factual information on SEAH safeguarding from the 14 MOPAN agencies under review. This information is summarised in Annex 6. This case study will take a step further to **propose an update to the MOPAN 3.0 assessment framework (KPIs/MIs/elements), producing a set of new or updated Elements that** provide a way of monitoring **how** multilateral organisations (MOs) safeguard against SEAH through:

- implementing their respective policies;
- rolling out guidance across the organisation;
- tackling barriers to reporting, recording, and follow-up;
- addressing power-dynamics between staff, implementing partners, and beneficiaries.

## *Background on the issue*

As stated in the concept note, *SEAH is relevant to multilateral agencies that have highly mobile and temporary staff, significant reliance on implementing partners, decentralised governance and work with the most vulnerable communities in unstable situations. Power and authority imbalances both within the agencies and in the field further exacerbate the possibility of exploitation, abuse and harassment.* While some organisations have already devoted attention to these issues for over more than 15 years; for others, addressing issues surrounding safeguarding against SEAH is a relatively new preoccupation. Standards, practices, and context varies greatly from one organisation to another.

**Developing indicators for performance requires clarity about the reference points or standards to be measured against. In the area of safeguarding against SEAH, however, there is no internationally agreed single standard of good practice yet that could build a solid anchor for indicators.** Several are, however, emerging, and will hopefully lead to a convergence of standards over time.

So far, significant efforts to define standards have been made by multilateral organisations and their inter-agency bodies themselves (e.g. the Inter-Agency Standing Committee, IASC). The G7 Whistler Declaration, and commitments made at the SEA Safeguarding Summit in October 2018 were further milestones, among others.

The Development Assistance Committee (DAC) is in the process of proposing a DAC Recommendation on how to best prevent and respond to SEAH in development and humanitarian assistance and set and implement international standards for current and future DAC members and implementing partners, in accordance with their national legal and institutional frameworks.

Although this case study will remain appraised of developments in these various fora, building an international good practice standard will be an effort that will not be concluded within the duration of this study. MOPAN's measures for SEAH safeguarding will therefore have to be updated in line with emerging standards over the coming years.

## 1.1 Purpose

The case study aims to **construct, test, and propose an approach** for testing a MO's practice on safeguarding against sexual exploitation and abuse, sexual harassment and other sexual misconduct<sup>5</sup> (SEAH) **to be able to integrate this further** into the MOPAN indicator framework and assessment process in a proportionate and cost-effective way. The MOPAN assessment framework provides a unique tool for introducing ways of measuring: policy, practice, and performance on SEAH safeguards. Through examining current MO practices on safeguarding, MOPAN can identify where MOs sit in relation to minimum standards and in doing so **identify prospective good practice** for SEAH Safeguarding. **This will serve to define indicators for the MOPAN methodology wherein each indicator is based on a 'reference point', an international standard of good practice.** The case study echoes the Key Messages for Donors on PSEA issued by the IASC AAP/PSEA Task Team for common reporting requirements, common definitions (of PSEA, AAP etc.) and common standards applied by MOs.<sup>6</sup> The study will include agencies under the UN umbrella, International Finance Institutions, and specialised funds.

The main purpose of the case study is to **propose an update to the MOPAN assessment framework and methods so that the MOPAN assessment can, from the 2020 cycle onward, provide information on a MO's policy and practice in safeguarding against SEAH.** A secondary purpose of this case study will be to **generate limited knowledge on how MOs are tackling issues of SEAH.**

## 1.2 Scope

To purpose and test an approach for measuring and assessing MOs safeguarding practice, this **Case Study will draw from the cohort of the 14 MOs assessed as part of the 2017-18 cycle,**<sup>7</sup> including, where relevant, the organisation responsible for setting operational and ethical code of conduct (e.g. the World Bank for GPE and GEF). The rationale for circumscribing the scope to these MOs is that

- 1) there is a **base of current factual information already available** from the 2017-18 assessments and
- 2) the **diversity of the group of MOs** provides fertile ground for testing; The MO cohort includes organisations with both development and humanitarian remits, high levels of decentralisation, and a diversity of mandates,

---

<sup>5</sup> "other sexual misconduct" is included because the terms SEA and SH, in their UN definitions used here, do not encompass the sexual abuse of multilateral organizational personnel or others for whom the organization may have a duty of care by other multilateral organizational personnel, particularly where for example, the alleged offender and victim may work for different multilateral entities.

<sup>6</sup> Key Messages for Donors on PSEA Developed by IASC AAP/PSEA Task Team Members in IASC PSEA-focused Task Team Meeting on 14 May 2018 :[https://interagencystandingcommittee.org/system/files/key\\_messages\\_for\\_donors\\_on\\_psea\\_28\\_may\\_2018.pdf](https://interagencystandingcommittee.org/system/files/key_messages_for_donors_on_psea_28_may_2018.pdf)

<sup>7</sup> Asian Development Bank (ADB), Food and Agriculture Organisation (FAO), Global Environment Facility (GEF), Global Partnership for Education (GPE), International Fund for Agricultural Development (IFAD), International Organisation for Migration (IOM), Office of the High Commissioner on Human Rights (OHCHR), UN Women, United Nations Education, Science, and Culture Organisation (UNESCO), United Nations High Commissioner for Refugees (UNHCR), United Nations Population Fund (UNFPA), United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA), World Health Organisations (WHO), and World Food Programme (WFP)

structures, and varying levels of maturity in their approach to SEAH that can serve to inform MOPAN's assessment practice going forward.

In line with the scope agreed by the TWG, the approach:

- **Is in line with current emerging standards**– ensuring that the case study frames its work in relation to emerging consensus and standards, while acknowledging that those are evolving;
- **Considers the full cycle** of SEAH– methodological amendments covering prevention, reporting, response and communication (see Figure 2);
- **Reflects policy and reality** – measuring the actual outcomes of policies in place.

While maintaining sight of all 14 MOs, the Case Study will conduct a more focused inquiry for a sub-set of 4 MOs that will offer the richest potential source for learning on the development of an assessment approach. The criteria and proposed sample is outlined in Section 2.4.

The Case Study seeks to provide measures to assess safeguards against at SEAH in the wider context of: **ethics, human rights, abuse of power, accountability toward affected populations, and duty of care toward staff and personnel**. The Study will seek to map out the international norms and multilateral organisations' policies for providing safeguarding, identifying minimum standards and good practice, and also to ascertain how organisational culture supports, or constrains the reality of implementing safeguards against SEAH. The 'building blocks' for the assessment are the key principles identified in the initial TWG concept note and the Inter Agency Standing Committee Minimum Operating Standards for Protection from Sexual Exploitation and Abuse (MOS-PSEA). These principles are set out in detail in section 2.3.

- **Policy, management, and coordination** *Policies in place and used (human resources, risk management, ethics, code of conduct for contractors) Department and focal point dedicated to safeguarding SEAH;*
- **Prevention** *Training and awareness raising on SEA amongst personnel. Recruitment and personnel management, code of conduct;*
- **Response and accountability** *Reporting, investigative, and complaints procedures in place with evidence of use. Whistle-blower protection. Follow-up and disciplinary measures in place with evidence of use;*
- **Engagement and support of local community population** *Awareness and complaint mechanisms for beneficiaries;*
- **Cross-cutting considerations** *Leadership prioritises safeguarding of SEAH. Victim/survivor centred approach.*

### 1.3 Expected outputs

With this in mind, the **deliverable** for the case study will be to propose an approach for how MOPAN's methodology can be enhanced, refined, or amended to provide a nuanced assessment of MO's practice on SEAH safeguarding (also refer to 2.3). This will include:

- **Concrete proposal of a number of 'elements' (sub-MI level)** that would serve to adjust or enhance the MOPAN assessment framework by addressing aspects of SEAH safeguarding. Drawing on options identified in the TWG concept note, define how the MOPAN methodology can integrate safeguards against SEAH into MOPAN assessments.

- **Recommendations for enhancing the methodological approach**, in particular evidence collection, as deemed necessary to capture insight on a MO’s practice of safeguarding of SEAH and **associated resource requirements (time and staff)**;
- **Identify small enhancements that can be immediately adopted for cycle 2019**, using the current methodological framework, to capture knowledge on MOs’ practice on safeguarding SEAH based on existing methodological approaches.

## 2. Methodology

### 2.1 Background to the methodology

#### *Concepts and working definitions*

For the purposes of this Case Study we draw upon the definitions set out in the United Nations Glossary on Sexual Exploitation and Abuse (2017).<sup>8</sup> These have also been adopted by the Inter Agency Standing Committee (IASC) SEA Task Force, individual donors<sup>9</sup>, International Finance Institutions, and specialised funds (outwith the UN umbrella).<sup>10</sup>

*Table 1: Working definitions*

	United Nations Glossary on Sexual Exploitation and Abuse (2017). <sup>11</sup>
<b>Safeguards</b>	<b>Essential tools to prevent and mitigate undue harm.</b>
<b>Sexual abuse</b>	<b>Actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.</b>
<b>Sexual exploitation</b>	<b>Any actual or attempted abuse of position of vulnerability, differential power or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another.</b>
<b>Sexual exploitation and abuse (SEA)</b>	<b>A breach of the provisions of ST/SGB/2003/13 (Special measures for protection from sexual exploitation and sexual abuse), or the same definitions, as adopted for military, police and other United Nations personnel.</b>
<b>Sexual harassment</b>	<p>UN regulations discuss sexual harassment in relation to conduct in the work context; Defined as ‘any unwelcome sexual advance, request for sexual favour, verbal or physical conduct or gesture of a sexual nature, or any other behaviour of a sexual nature that might reasonably be expected or be perceived to cause offence or humiliation to another, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment.’<sup>12</sup></p> <p>Beyond UN regulations, the definition of sexual harassment, included in the UN Glossary, is broader and does not require a link to the work environment. It is defined as any form of unwanted verbal, non-verbal or physical conduct of a sexual nature with the purpose or effect of violating the dignity of a person, in particular when creating an intimidating, hostile, degrading, humiliating or offensive environment. While we recognise that sexual harassment is not limited to a work environment, for the purposes of this study, our focus will be on <b>unwelcome sexual advances and behaviour between staff or within the workplace (short-term staff, consultants, implementing partners, contractors).</b></p>

<sup>8</sup> Thematic Glossary of current terminology related to Sexual Exploitation and Abuse (SEA) in the context of the United Nations (2016), United Nations.

<sup>9</sup> [https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/749741/Listening-Exercise1.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/749741/Listening-Exercise1.pdf)

<sup>10</sup> The World Bank Global Gender-Based Violence Task Force refers to UN definitions of SEA ref.

<http://documents.worldbank.org/curated/en/482251502095751999/pdf/117972-WP-PUBLIC-recommendations.pdf>

<sup>11</sup> Thematic Glossary of current terminology related to Sexual Exploitation and Abuse (SEA) in the context of the United Nations (2016), United Nations.

<sup>12</sup> Secretary-General’s Bulletin Prohibition of discrimination, harassment, including sexual harassment, and abuse of authority ST/SGB/2008/5

Source: United Nations Glossary on Sexual Exploitation and Abuse (2017).

Sexual abuse, (sexual) exploitation, sexual harassment and other sexual misconduct are included within the scope of this study given their inextricability from power dynamics within organisations, and between personnel and beneficiaries. They can all be seen as part of a continuum of sexual violence that is determined largely by power differentials and levels of vulnerability, either between staff, or staff and beneficiaries.

Multilateral organisations work across diverse country contexts, with local staff, contractors, and a high proportion of short-term project-based staff. MOs have direct interface with vulnerable populations and beneficiary groups and often work through implementing partners for which there are varying levels of ‘control’ and risk assessment. Power differentials pervade these interactions, and the need to safeguard against abuse across these various interactions must be considered. This case study aims to look at how organisations are implementing safeguards across these relationships. Figure 1: Interactions across key actors, and the distinction between SEA and SH

*Interactions and scope for safeguarding across key actors*

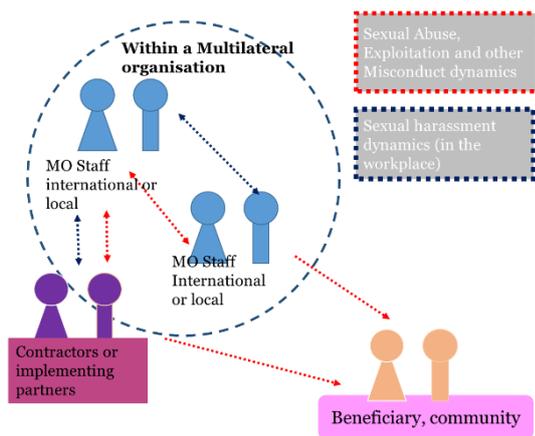


Figure 1 depicts how SEA and SH exist within multilateral organisations. Sexual harassment (SH), which for the purposes of this study is considered solely as it relates to the workplace (the organisation), entails looking into internal

policies and procedures, human resource arrangements, power differentials, staff performance assessment, reporting lines, etc..

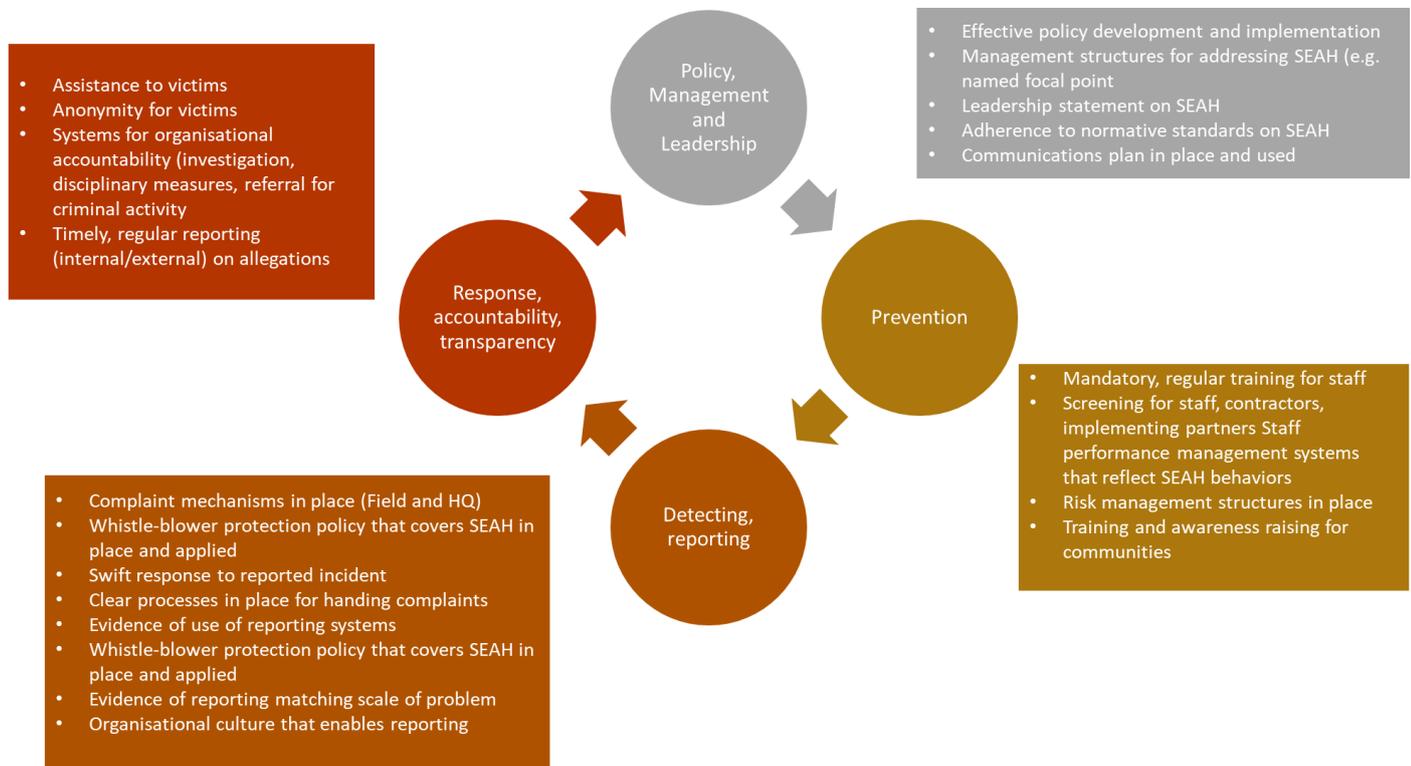
We will refer to sexual exploitation and abuse and other sexual misconduct in terms of internal policies, procedures, practices, and realities, in terms of how MOs safeguard local, international, short-term, and permanent staff. The study will also touch on how multilateral organisations safeguard beneficiaries and local communities from SEA perpetrated by staff, contractors or implementing partners.

While there may be common systems in place to prevent and detect SEA and SH, the distinction between SH and SEA is important. The classification of misconduct, complaint mechanisms, and the level of accountability that a MO has for each office varies.<sup>13</sup> For example, in the UN System, SEA is a Category I serious misconduct, which can, in some cases, be treated as a criminal offense and involves authorities external to the MO (host/sending country, etc.), while SH is a Category II misconduct which can lead to disciplinary measures. Complaint mechanisms are also different. SH is usually dealt with internally by human resources, or the head of mission or department. For SEA, on the other hand, there is a multiplicity of options including specific complaint centres set up by NGOs or local police. Our inquiry will seek to explore the differences between these related but often divergent issues, and ensure that indicators adequately cover both issues.

*Figure 2: SEAH Lifecycle Components*

<sup>13</sup> Preventing Sexual Exploitation and Abuse, Secretary-General's Bulletins <https://www.un.org/preventing-sexual-exploitation-and-abuse/content/policies>

The SEAH study will identify organisational practice throughout the ‘lifecycle’ to identify critical components for determining an organisation’s performance in safeguarding against SEAH. Figure 2 depicts the SEAH lifecycle from the development of policy and management structures to address SEAH, efforts to prevent SEAH incidents, detecting and reporting incidents, and then an organisation’s response to both victims and perpetrators.



## 2.2 Methods

### Overview

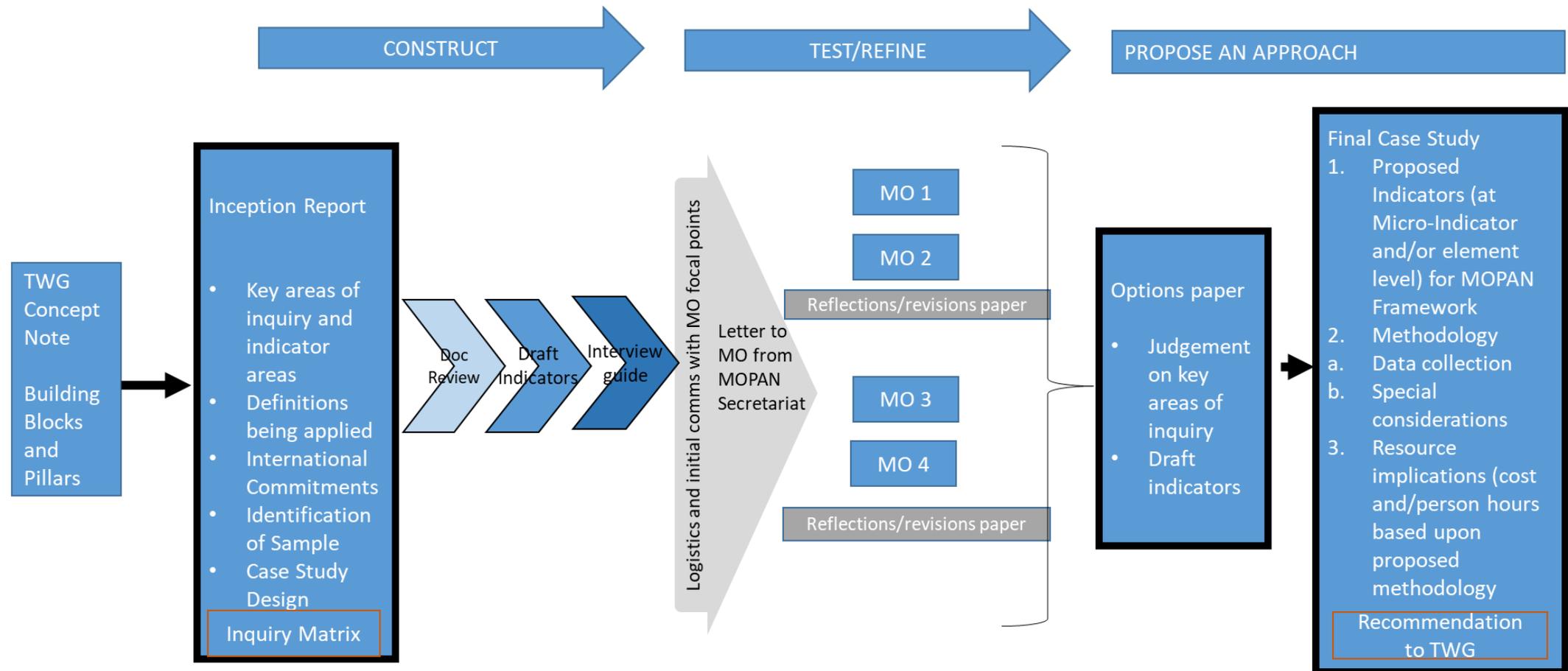
On the basis of test indicators, the study will engage with MOs to test with regard to their:

- **Relevance:** What are the critical proxy indicators for assessing the level of interest, adherence, and responsiveness to SEAH issues at different levels?)
- **Feasibility:** Is the indicator measurable? Can it be assessed?
- **Proportionality:** Does the indicator assess safeguarding of SEAH at a level that is appropriate for the MOPAN Assessment?
- **Representativeness:** How well the proposed indicators represent the reality of a MO for assessing safeguarding of SEAH.

We will undertake a focused inquiry with a sample of four MOs for which we will draw on factual information from MOPAN assessments, additional policy documentation, and conduct HQ visits. Evidence from each of the MOs will be analysed and triangulated to refine the proposed methodology and generate learning.

Figure 3: SEAH Case Study Process

The Case Study is sequenced to construct, test, and refine demonstrative and measurable indicators for the MOPAN framework. The key stages of the case study are summarised in Figure 3 below.



### *Document review*

We will use existing literature and data to establish base knowledge about the known position of a sample of MOs (see 2.4). In addition to feeding into our selection criteria for the MOs sampled, this will also provide us with knowledge about how the wider group is addressing safeguarding and will be referenced as relevant. This will include review of relevant policies, guidance, and training in place or in development. Reviewing documentation from a range of MOs (as indicated, this will include agencies under the UN umbrella, International Finance Institutions, and specialised funds) will allow us to see how MOs are interpreting the safeguarding of SEAH within their systems, processes, and programming. This information will feed into an inquiry framework (see Annex 1) which we will use to build an understanding of the types of policies and codes of conduct that the sample of MOs use to safeguard SEAH. The following sources will provide the basis for the document review.

#### **Sector-wide standards**

The document review will draw on international normative instruments to provide performance standards for SEAH practice and definitions. We will propose indicators that ascertain a MO's endorsement of current standards in the sector. We will also consider emerging requirements on the side of donors vis-à-vis multilateral organisations (such as the DAC Recommendation on SEAH that is under development,<sup>14</sup> and the DFID donor commitment of October 2018). We will look to the developing sector-wide standards as a basis for deriving applicable indicators which can be updated as standards evolve.

#### **MOPAN assessments 2017-18**

The 2017-18 MOPAN Assessment Cycle includes factual information about MOs' practices on safeguarding of SEAH. Most of the information included in the reports is drawn from MOs' compulsory self-reporting letter to DFID. Following DFID's Feb 2018 request for information from all (137) organisations in receipt of DFID funding about the effectiveness of their safeguarding. The information gathered from DFID provides information about policies, procedures and measures to protect people; description of how incidents and allegations are handled; and description of the organisational culture. As part of DFID's engagement in this area, a body of literature has been produced to highlight and add visibility to safeguarding issues.<sup>15</sup>

#### **Entry points in MOPAN Methodology (2017-18)**

Within the current MOPAN indicator framework, there are a number of micro-indicators that provide an opening for understanding the mechanisms that MOs have in place to: prevent, protect, and respond to issues of SEAH. These could provide an entry point for understanding the organisations' existing policies and practices within the broad context of SEAH, and possibly provide a space for deepening the assessment framework to more explicitly assess how the organisation addresses issues of safeguarding for SEAH. Focusing in on an identified sample of MOs, we will look across the performance information on these indicators from the 12 organisations assessed, so as to explore what it reveals about the SEAH safeguarding environment in an organisation and what gaps exist in the current methodology.

- MI 2.1 (a) Gender equality and the empowerment of women (the root of the issue); (d) Human Rights and (e) Protection (while the focus here is beneficiaries rather than staff the issues are correlated);
- MI 3.4 HR systems and policies performance based and geared to the achievement of results;
- MI 4.5 Addressing Issues of concern raised by internal controls (the one place where safeguards are explicitly mentioned) and possibly

---

<sup>14</sup> The Development Assistance Committee (DAC) is in the process of drafting a recommendation on how SEA should be dealt with by the sector (due to be completed September 2019).

<sup>15</sup> The team will make a consolidated request to DFID for the documents

- MI 4.6 Policies and procedures prevent, detect, investigate and sanction cases of fraud, corruption and other financial irregularities (rather narrowly focused)
- MI 5.4 on Risk management strategies;
- MI 5.5 on Intervention design (related to gender and protection);
- MI 6.5 on co-ordination with other partners (UN agencies, INGOs etc.) on key business practices;
- MI 6.7 Clear standards and procedures for accountability to beneficiaries implemented (while the focus here is beneficiaries rather than staff the issues are correlated).

The TWG Concept note proposed a number of measures for enhancing, adjusting, and drawing from the indicators as a way to capture MO's performance on SEA.

Given that we will be drawing on information from MOPAN reporting, it may be necessary to engage with the authors of the MOPAN reports to seek clarification or additional information on the terminology, or assessment of the MOs on these indicators as appropriate.

### **MO documentation**

We will undertake a light touch review of additional documentation from MOs, supplementing information provided in the MOPAN reports with specific information from the MOs on the following areas:

- Codes of Conduct / staff rules as relevant to SEAH, action plans etc.
- International commitments related to gender equity, human rights;
- MO policy and procedural provisions vis-à-vis safeguarding including zero-tolerance policies, codes of conduct, implementing partner monitoring frameworks, monitoring mechanisms etc.

### *MO Headquarters Visits*

The **purpose of the HQ visits** is to consult MO staff to develop an enhanced appreciation of how the MOPAN methodology can assess SEAH for each MO. The MO visits, which will be conducted consecutively, will build on each other to refine the proposed indicators and methodological approach through consultation with staff from each MO. All MO visits will use a common interview guide, and validate the same proposed set of indicators to produce a refined understanding of the possibilities and constraints of the proposed indicators, based upon each MO's practice and institutional set-up. The MO visits are sequenced so that two organizations are visited (April 1-4), followed by a brief period for reflection, updating of methods and indicators, followed by two subsequent HQ visits (11-12 April and 28-29 April).

Recognizing the sensitivity of the topic, it will be important that we establish the context and goal of the HQ visits clearly from the outset as one of **consultation rather than assessment**. We will work collaboratively with the MOs, to ensure that our approach to staff is appropriate and in full adherence to (UNEG and OECD DAC) ethical standards<sup>16</sup>. **The purpose of the MO visits is to test the suitability of proposed indicators.**

Four MOs will be visited (outlined below). The visits will be informed by a preliminary data dive, document reviews and planning discussions with the relevant MO leads. Each visit is expected to last between two to four working days. Prior to the visit, interviews with focal points will be arranged.

We anticipate that HQ interviewees would include staff from: human resources, ethics offices, Ombudsman, programme staff, donor relations, external affairs, possibly also staff counsellors and medical offices, and others who may be involved in internal SEAH prevention task teams or training initiatives. We will, as much as possible, seek to ensure that there is a gender balance of interviewees and that our interviews consult with staff at different levels of seniority within the organisations.

---

<sup>16</sup> UNEG - Ethical Guidelines for Evaluation (2008); UNEG Code of Conduct for Evaluation in the UN system

Planning for each MO visit will start with prior communications (a formal letter sent from the MOPAN Secretariat) with the MO's MOPAN focal point. The purpose of these is to introduce the evaluation team, discuss the case study approach and methodology, and identify potential interviewees.

Each MO visit will be concluded with a debrief with the MO focal point. The purpose of in-person debriefs is to share, discuss and validate how the information gathered during the visit has informed our understanding of how safeguarding of SEAH can be assessed and to ensure accurate contextual interpretation of information and identify any gaps in findings.

Each visit will be undertaken by two members of the team.

### *Interviews*

Semi-structured interviews will be used as a way to consult MOs on possible approaches for assessing the effectiveness and impact of their SEAH policy and practice.

An **interview guide** will be devised based on the inquiry matrix with questions being tailored to the specific interviewee. As part of our commitment to ethical interviewing, in line with UNEG ethical guidelines, at the start of each interview, the interviewer will assure the interviewee that interviews will not be attributed, but note that the small number of interviewees may make confidentiality difficult. To mitigate this risk, we will ask the interviewee to identify any comments that they specifically do not want to be recorded or reported. Our recording will consist of written notes. If focus groups are considered appropriate in each country context then they will similarly use a standard guide, with a more limited number of questions.

### *Remote interviews*

In addition to face-to-face interviews during HQ visits, we will also carry out a limited number of remote interviews with field-based staff. Where possible, we will rely on videoconferencing linkages facilitated by the MO during the field visit.

### *Analysis*

- Analysis will be based on the inquiry framework so that there is a consistent approach taken to recording and analysis. Evidence sheets will be developed for all 4 MOs and for other external stakeholders.
- Evidence will be recorded on an Excel spreadsheet to ensure clear evidence for each line of inquiry. Evidence sources will be noted (e.g. interviews, focus groups, documents, MOPAN data). This will be used to support cross-organisational triangulation and to analyse evidence;
- Report findings will be drafted based on this evidence sheet for each MO. In the debrief, we will share initial findings with the MO as appropriate.
- An initial overview analysis of the findings from the different organisations will be undertaken with commonalities and discrepancies highlighted and shared across the team. The group analysis process will also ensure internal challenge and triangulation.

### *Ensuring a consistent approach across case studies*

The team will ensure a consistent approach and quality through:

- Use of the *inquiry matrix to record and analyse data*;
- Use of standard interview guides for interviews;
- Regular virtual team meetings will be held to review findings;
- Regular internal team communications;

- Internal reviews of findings for case studies;
- Quality assurance inputs and challenge from our quality assurance leads;
- Ongoing and regular engagement with the MOPAN secretariat.
- **Reflections and revisions** paper following the initial two HQ visits which will provide an opportunity to share learning across the team and make revisions to the indicators.

## 2.3 The Inquiry Framework

Our review framework draws from the building blocks on SEAH identified in the TWG concept note and the IASC PSEA Minimum Operating Standards. These are set out below:

Main areas of inquiry	Proposed indicators
<b>1. Policy, Management, and Leadership</b>	<p>a. Relevant policies in place supported by implementation or action plans including:</p> <ul style="list-style-type: none"> <li>-Organisational statement on SEAH</li> <li>-Zero tolerance</li> <li>-Code of conduct for staff on SH</li> <li>-Code of conduct for contractors</li> </ul> <p>b. Organisational structure to address SEA, SH including:</p> <ul style="list-style-type: none"> <li>•-department or focal point for SEA</li> <li>•-management reporting processes in place</li> <li>•-adequate resourcing for SEAH</li> </ul> <p>c. Human resources enforces SEAH norms</p> <ul style="list-style-type: none"> <li>•-Performance assessment processes include SEAH</li> <li>•Leadership prioritisation of safeguarding SEAH</li> </ul>
<b>2. Prevention</b>	<p>a. Training</p> <ul style="list-style-type: none"> <li>•- Human resources provides mandatory, regular training for staff</li> </ul> <p>b. Screening</p> <ul style="list-style-type: none"> <li>• - Human resources supports screening of staff, contractors</li> </ul> <p>c. Communications</p> <ul style="list-style-type: none"> <li>•-Regular communications on relevant policies related to SEA and SH</li> </ul> <p>d. Risk management structures activities in place</p> <ul style="list-style-type: none"> <li>•Programming supports regular, culturally appropriate training and awareness raising for communities/beneficiaries</li> </ul>
<b>3. Detecting, reporting</b>	<p>a. Complaint mechanisms in place (Field and HQ)</p> <p>b. Whistle-blower protection policy, covering SEAH, in place and utilized</p> <p>c. Reporting systems utilized</p> <p>d. Organisational culture enables reporting</p>
<b>4. Response, accountability, transparency</b>	<p>a. Remedial action that prioritises rights of victims</p> <ul style="list-style-type: none"> <li>•-Assistance to victims</li> <li>•-Anonymity for victims</li> </ul> <p>b. Enforcement of standards, sanctions, disciplinary measures</p> <ul style="list-style-type: none"> <li>•-Investigation</li> <li>•-Disciplinary measures</li> <li>•-Referral for criminal activity</li> </ul> <p>c. Regular reporting and community engagement</p>

The lines of inquiry, drawing upon these main areas is set out in more depth in Annex 1. Through our analysis, we will construct, test, and refine these indicators- seeking for ways to situate them within the MOPAN framework, largely at the element level.

## 2.4 MO selection and rationale

The case study is premised upon building an assessment approach by learning from organisations that have, or are in the process of grappling with SEAH issues about how their policy and practice can be measured. As proposed in the TWG concept note, the selection of MOs is based upon a purposive sample of organisations that can provide the “richest potential source for learning on the development of an assessment approach.” Criteria for the selection of the MOs is based upon a number of criteria including the MO’s level of decentralisation, the perceived maturity of the organisation’s approach to SEAH issues, the staffing profile, and the volume of activities implemented through partners. Below, the criteria that was considered in selecting MOs and the proxy indicators that were applied to provide a rationale for the sample (Annex 6 sets out the full typology used for the sample). Drawing from the suggestions in the TWG concept note, the main criteria for sampling of MOs are:

Main criteria	Rationale	Indicators
<ul style="list-style-type: none"> <li>The scale and nature of the challenge (level of risk) for the MO given relationship to beneficiaries and size of staff group;<sup>17</sup></li> </ul>	Test assessment approach for a variety of contexts, scales of operation, and levels of risk to beneficiaries,	Type of organisation (UN Agency, International Finance Institution, Specialised Fund). Nature of organisational mandate (humanitarian/development/normative) Size of budget and workforce
<ul style="list-style-type: none"> <li>The prevalence of short-term staff and a decentralised organisation structure</li> </ul>	Identify methods that will capture human resource policy and practice for centralised and decentralised organisations.	<ul style="list-style-type: none"> <li>Level of decentralisation of MO (Number of duty stations)</li> <li>Percent of total staff based in headquarters</li> <li>Percent of workforce comprised of short-term staff</li> <li>Percent of workforce comprised of consultants</li> </ul>
<ul style="list-style-type: none"> <li>The high volume of activities implemented through partners</li> </ul>	Determine assessment approach where the organisation has challenging oversight and control	<ul style="list-style-type: none"> <li>Level of work carried out by allocated to implementing partners</li> </ul>
<ul style="list-style-type: none"> <li>‘Maturity’ of SEAH approach</li> </ul>	Build assessment from organisations who have experience grappling with SEAH safeguarding issues within their systems.	<ul style="list-style-type: none"> <li>MO has policies, procedures, guidance, action plan and/or task team in place to address SEAH)</li> </ul>

<sup>17</sup> [https://www.unsceb.org/CEBPublicFiles/CEB\\_Personnel\\_Stats\\_2017.pdf](https://www.unsceb.org/CEBPublicFiles/CEB_Personnel_Stats_2017.pdf)



In accordance with these criteria, the organisations selected for case studies are:

Suggestion for selection	HQ Location	Level of centrality	SEA Safeguard Maturity	System	Type of aid	Member of PSEA Taskforce	Level of oversight & direct control	Number of locations	Number of staff	Budget	Target Groups	Explanation
World Bank (opportunity to cover GPE and GEF)	Washington DC	(Unknown)	Medium	Financial institution	Development	No	Low - loans, grants and credit	130	10,000	\$2.65b	Developing countries, govts	The World Bank hosts two of the organisations assessed in the 2017-2018 MOPAN cycle (GPE, GEF), maintaining codes of ethics and provisions on harassment and misconduct that constituent funds are party to. The World Bank is in the sample because of its global reach and the scale of its operations. It is the only international finance organisation sample. It is included in order to understand how to define indicators for IFIs and specialised funds.
WHO	Geneva	Moderately decentralised- 30% in headquarters	Medium	UN agency	Development and Humanitarian	No	High- predominately direct assistance	216	8049	\$4.21b	Crises, vulnerable groups	WHO is an organisation that provides a great deal of direct assistance at a very large scale across highly variable contexts.
WFP	Rome	Highly decentralised - 14% in headquarters	High	UN agency	Development and Humanitarian	Yes	Medium - direct assistance and implementing partners	313	6091	\$5.7b	Crises, vulnerable groups	WFP is included because of the scale of its operations and the challenge of its safeguarding of SEAH amidst crisis situations when working through partners and also providing direct assistance.
UNHCR	Geneva	Highly decentralised 8% in headquarters	High	UN agency	Humanitarian and Development	Yes	Medium - direct assistance and implementing partners	436	9740	\$7.99b	Migrants, refugees, displaced peoples	UNHCR are very active in the IASC/AAP Task Team and have a strong overview on how other agencies are addressing SEAH. Their SEAH challenge is considerable and they have a high level of decentralization.

Suggestion for selection	HQ Location	Level of centrality	SEA Safeguard Maturity	System	Type of aid	Member of PSEA Taskforce	Level of oversight & direct control	Number of locations	Number of staff	Budget	Target Groups	Explanation	
Alternative options	IOM	Geneva	Highly decentralised 6% in headquarters	High	UN agency	Development and Humanitarian	Yes	Low - many implementing partners	237	4450	\$956m	Migrants, refugees, displaced peoples	IOM, an organisation with significant experience in safeguarding SEAH, has the unique challenge of working largely through implementing partners. It will be important to understand how to assess an organisation's ability to meet the challenge of providing oversight and control in an organisation's safeguarding of SEAH when most engagement with beneficiaries is through implementing partners and nearly all staff are in the field.
	UNFPA	New York	Moderately decentralised 12% in headquarters	High	UN Fund	Development and Humanitarian	Yes	Medium	187	2658	\$3.5 billion over strategic period	Women and girls, youth	UNFPA provides an example of how an organization with a more circumscribed mandate is addressing SEAH issues for a different sub-set of vulnerable groups. The nature of their challenge is different to other organisations with a largely humanitarian remit.

## 2.5 Intended use/users

### *MOPAN Technical Working Group:*

The case study will propose an approach to assessing a MO's practice on safeguarding against SEAH for the TWG to consider and integrate as appropriate. This may include additions or amendments to existing indicators, guidance on how, and with whom to engage within a MO as part of the MOPAN assessment.

### *MOPAN Members:*

MOPAN Assessors (as appropriate): The Case Study will seek to identify a) immediate steps for MOPAN assessors involved in the 2019 MOPAN Assessment Cycle that can easily be integrated into current practice and methods and b) additions and amendments to the assessment methodology.

## 2.6 Limitations

This case study has several limitations most of which are inherent in the nature of this approach and the available time and budget, and need to be kept in mind as caveats or contextual considerations as the study proceeds and when findings are discussed later:

- The coverage across the MOs is selective (4 MOs visited). Within the budget and time available this is inevitable. MO selection has been purposive to enable positive learning, but may limit learning on organisations with different organisational structures.
- Inquiry will take place primarily at HQ rather than in the field. Given time and resource limitations, and the scope of the study, we have determined that it will be most efficient to conduct the inquiry at MO headquarters. While we will undertake a limited number of phone and virtual conferences to connect with staff in the field, we expect that the differing country contexts that affect and inform the extent that safeguarding of SEAH is applied will vary significantly.
- Given the sensitive nature of the topic, we may not have the opportunity to gain the perspectives of those staff who may have been most affected by SEAH issues within the MO. We will attempt to mitigate this by assuring full confidentiality to all participants and by providing the opportunity for an open fora for discussion during the HQ visits.
- Implementing partners, such as INGOs and commercial vendors, will not be directly interviewed in the data collection. Our understanding of how safeguards are applied to contracts with implementing partners will be informed by policy and procedure for contracting implementing partners and due diligence processes applied to implementing partners that include safeguarding measures for staff and beneficiaries.

## Annex 1: Inquiry Matrix

		Key questions	Doc review	Interview	Rationale
Defining terms and standards	Definitions	How do organisations interpret and apply key definitions around safeguarding, SEA, and SH?	✓	✓	Determine how the MOPAN methodology should define SEA and SH, based upon MO practice and developing international standards.
	International Commitments	What international standards and commitments of multilateral organisations could MOPAN draw on?	✓	✓	Identify international norms and standards that the MOPAN methodology should use as a reference point in the assessment framework
	Sexual harassment and Sexual Abuse	In what areas is it particularly important to understand the difference in the mechanisms for preventing, enforcing, responding to SEA versus SH?	✓	✓	Understanding and compare the different levels of severity, accountability, and responsibility for SH and SEA
Key areas of inquiry	<ol style="list-style-type: none"> <li>1. <b>Policy, Management, and Leadership</b></li> <li>2. <b>Prevention</b></li> <li>3. <b>Detecting, reporting</b></li> <li>4. <b>Response, Accountability and Transparency</b></li> </ol>	<ul style="list-style-type: none"> <li>• <b>Relevance</b> What are the critical proxy indicators for assessing the level of interest, adherence, and responsiveness to SEAH issues at different levels?</li> <li>• What kinds of policies are in place to support the following and what mechanisms are there for enforcing these aspects of SEAH?</li> <li>• How does the organisation ensure the dissemination, uptake, effectiveness, and responsiveness of their safeguarding initiatives?</li> </ul>	✓	✓	Determine with MO to what policies, practices, procedures are in place across the main (4) areas of inquiry to be able to identify indicators.
		<ul style="list-style-type: none"> <li>• <b>Feasibility</b> (can it be measured or assessed? And how?)</li> </ul>		✓	Determine how to assess the indicators and what methods are required.
		<ul style="list-style-type: none"> <li>• <b>Proportionality</b> (does the indicator assess safeguarding of SEAH at a level that is appropriate for the MOPAN Assessment?)</li> </ul>		✓	Determine the depth of analysis is required to make an assessment
		<ul style="list-style-type: none"> <li>• <b>Representativeness</b> (how well the indicators represent the reality of a MO) of proposed indicators for assessing safeguarding of SEAH.</li> </ul>		✓	Identify coverage and gaps of proposed indicators

## Annex 2: Typology for sample of MOs

MO selection was conducted to **offer the richest potential source for learning on the development of an assessment approach**. The selection of MOs, drawing chiefly on those assessed in the 2017-18 cycle, is designed to ensure gauge how SEAH can be assessed by consulting with a variety of organisations with varying challenges and approaches to safeguarding SEAH. It does not represent primary information gathered by the Case Study team. The sample seeks to engage with MOs deal with SEAH issues in both **humanitarian and development** contexts, each of which offers distinct challenges. To be able to understand how to assess an organisation's practice of safeguarding of staff against SEAH, and protection of beneficiaries with decentralised structures and systems, the sample considers organisations with varying proportions of staff based at **headquarters and in the field**, To ensure that the methodology is applicable to different types of organisations, the selection of MOs includes organisations under the **UN umbrella and an International Finance Institution**. Our selection also considered the **level of SEAH safeguard maturity**- that is the extent that MOs have adopted policies, guidelines to prevent and report SEAH and also their participation in the PSEA . We also considered organisations' **participation in the Prevention of Sexual Abuse and Exploitation (PSEA) Task Force** as a way to understand different ways to assess an organisation's engagement with normative guidelines and international standards around SEAH. Our selection also considered **practical issues around the location of the HQ and the time available**.

Table 1: MO Typology type, context and nature of the challenge<sup>18</sup>

Name of MO	HQ Location	Assessment Round	Humanitarian or Development	Organisation Type	Decentralization: # of locations with presence <sup>19</sup>	Decentralization % of total staff based in headquarters	Target groups - level of vulnerability	Total Budget 2018	Level of control and oversight
ADB	Manila	2017-2018	Development	International Finance Institution	35			\$32.2 billion	Low
FAO	Rome	2017-2018	Humanitarian and Development	UN Specialized agency	148	56%		\$2.6 billion	High
GEF	Washington DC	2017-2018	Development	Specialised global fund-hosted by World Bank	151			\$35.48 m	Low
GPE	Washington DC	2017-2018	Development	Specialised global fund-hosted by World Bank	62		School aged children	\$2.3 billion	Low
IFAD	Rome	2017-2018	Development	UN Specialized agency	43	84%	Rural populations	\$155.5 million	Low
IOM	Geneva	2017-2018	Humanitarian and Development	UN agency	237	6%	Migrants, refugees, displaced people	\$956.5 million	Low
OHCHR	Geneva	2017-2018	Development, Normative (but disperse humanitarian funds)	UN agency	66			\$201.6 m	Low
UN Women	New York	2017-2018	Humanitarian and Development and Normative	UN agency	92	30%	Women and girls	\$3.78 billion	Medium
UNDP	New York	2015-2016	Humanitarian and Development	UN Fund	170	18%	Humanitarian crises, impoverished pops	\$5.79 billion	High
UNESCO	Paris	2017-2018	Development	UN Specialized agency	86	52%	Youth	\$648 billion	Medium
UNFPA	New York	2017-2018	Humanitarian and Development and Normative	UN Fund	187	12%	Particularly women and girls, youth	\$3.586 billion	Medium
UNHCR	Geneva	2017-2018	Humanitarian and Development	UN agency	436	8%	Migrants and refugees	\$7.99 b	Medium
UNRWA	Multiple	2017-2018	Humanitarian and Development	UN agency	4	52%	Palestinian refugees	\$760 m	High
WFP	Rome	2017-2018	Humanitarian and Development	UN Fund	313	14%	Impoverished pops	\$5.7 billion	Medium
WHO	Geneva	2017-2018	Humanitarian and Development	UN Specialized agency	216	30%	Crises, impoverished pops	\$4.421 billion	High
World Bank	Washington DC	2015-2016	Development	International Finance Institution	130			\$2.65 billion	Low

<sup>18</sup> This information was derived from reporting in the 2017-18 MOPAN draft documents; Collation of self-reporting from MOs in response to 2018 DFID Safeguarding letter, and HR statistics on % of consultants/total workforce; % short-term staff/total work force, % HQ staff, how many duty stations) <https://www.unsystem.org/content/un-system-hr-statistics-report-2017>. Proxy indicators for the level of control was derived from organisational performance reporting on activities.

<sup>19</sup> including multiple duty stations in a single country

Table 2: SEAH Safeguard Maturity<sup>20</sup> (indicated by presence of policy)

Name of MO	Awareness Raising/Comments	Budget	Code of Conduct	Contract conditions	Focal points	Grievance process	Guidelines on prevention	Leadership	Monitoring Mechanism	Organisational accountability	Participation in UN taskforce on	Policy	Risk assessment policy	Staff Accountability	Taskforce	Toolkit/Handbook	Training	Action Plan	Zero-tolerance approach	Total	Ranking
ADB			X			X	X													3	Low
FAO	X					X					X	X								4	Low
GEF						X											X			2	Low
GPE			X																X	2	Low
IFAD		X		X								X			X					4	Low
IOM	X			X	X	X				X	X	X		X		X	X		X	11	High
OHCHR	X	X	X		X	X		X	X		X	X		X	X		X		X	13	High
UN Women	X				X	X						X				X	X			6	Medium
UNDP	X		X			X					X	X					X		X	7	Medium
UNESCO								X			X									2	Low
UNFPA	X			X				X			X						X		X	6	Medium
UNHCR	X	X		X	X	X		X			X		X				X	X	X	11	High
UNRWA	X														X		X			3	Low
WFP	X	X		X	X			X			X			X			X		X	9	High
WHO	X					X		X			X	X			X		X		X	8	Medium
World Bank			X			X	X					X			X			X		6	Medium
	10	4	5	5	5	10	2	6	1	1	9	8	1	3	5	2	10	2	8	97	

<sup>20</sup> Information derived from SEAH Box presented in 2017-18 MOPAN reporting which comes from MO self reporting on SEAH practices and policies.

## Annex 3: Overview of SEA/SH prevention and response approaches evident in reviewed MOPAN agencies<sup>21</sup>

SEA/SH prevention and response approach	Approach is present (X), under review (R), in development (D) or planned (P) in reviewed MOPAN agencies		ADB	GEF (WB)	IFAD (UN)	IOM (UN)	OHCHR (UN)	UNESCO (UN)	UNFPA (UN)	UNHCR (UN)	WFP (UN)	WHO (UN)
	Count of agencies	%										
Policy	8	80%		R	X	X	X	R	R		R	X
Code of Conduct	2	20%	X				X					
Guidelines on prevention of SH	1	10%	X									
Zero-tolerance approach	6	60%				X	X		X	X	X	X
Contract conditions for sub-contractors	4	40%			X	X			X		X	
Contract conditions for sub-contractors/partners	1	10%								X		
Grievance mechanism (internal)	8	80%	X	X		X	X	R		X	R	X
Grievance mechanism (external)	4	40%	X	X							R	X
Leadership	5	50%					X	X		X	X	X
Focal points (prevention, investigation, training)	4	40%				X	X			X	X	
Awareness raising/communications	5	50%				X	X	X		X		X
Training (external) - discretionary	1	10%								X		
Training (senior staff) - mandatory <sup>22</sup>	1	10%					X					
Training (staff)	1	10%			D							
Training (staff) - mandatory	5	50%		X		X			X	X		X
Toolkit	1	10%				X						
Action plan	1	10%			D							
Taskforce	3	30%			X		X					X
Budget	4	40%			X		X			X	X	
Risk assessment process for SEA/SH	3	30%			D				X	X		

<sup>21</sup> Summary of the information collected as part of the 2017-18 MOPAN assessments, available at [www.mopanonline.org](http://www.mopanonline.org)

SEA/SH prevention and response approach	Approach is present (X), under review (R), in development (D) or planned (P) in reviewed MOPAN agencies		ADB	GEF (WB)	IFAD (UN)	IOM (UN)	OHCHR (UN)	UNESCO (UN)	UNFPA (UN)	UNHCR (UN)	WFP (UN)	WHO (UN)
	Count of agencies	%										
Monitoring mechanism (of staff perceptions)	2	20%					X				P	
Staff accountability (performance management)	3	30%				X	X				X	
Organisational accountability (performance framework)	1	10%				X						
Participation in UN-wide taskforce on SEA/SH	3	30%					X	X		X		
External research into organisational gender barriers/SEA in field	1	10%					P					